

Conference

July 14 - 18, 19



Immigration and Naturalization Service

Records and Information Conference

New Carrollton, Maryland

July 14 through July 18, 1985

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San Antonio District Office

John Bramblett
Eastern Regional Records Manager

Nanetta Biddy
Management Analyst
Washington District Office

Pat Bolinger
Management Analyst, RSD

Maxine Boren
Supervisory Contact Representative
Seattle District Office

Jim Carson
Records Supervisor
Memphis District Office

Catherine (Kay) Carver
Management Analyst, RMB

Cecil G. Christian, Jr.
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Holly Clow
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Walter Connery
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Walt Cory
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Lloyd Sutherland
Immigration Examiner

Susan Verdoliva
Supervisory Contact Representative
Los Angeles District Office

Jerry Webster
Director
Business Systems

Gloria Williams
Privacy and Freedom of Information
Specialist
Southern Regional Office

CONFERENCE COORDINATOR

Ms. Carmen Ray

**Freedom of Information and Privacy Specialist, FOIA/PA
Operations Unit, Information Services Branch, Records
Systems Division**

Irvin Klavan

Alice English

James R. Duell

Edward L. Lyle

Russell Powell

Surrena Nowlin

Alice Neary

Rosemary Coston

Carmen Ray

Cecil G. Christian, Jr.

Catherine Carver

Elizabeth Berrio

William J. Polli

Veola Rouse

Rodney Guliford

Sandra Scholten

Norma Johnson

Northern Region

CHI Leonard Rios
Jim Fleming

CIN Fay Johnson

CLE Audrey Rozack

DEN Pat Salazar

DET Betty Fraley
Cynthia Calamease

HEL Alan J. Egge

INP Sheila Gholson

KAN Janet Gibson

MIL William L. Whitmore

NRO Carl M. Green, Jr.

OMA Marjory Jane Haswell

POO Elizabeth M. Nelson

SEA Maxine Boren

SLC Mary L. Adler

SPM Mary Lou Hernandez

SPO Lloyd Warfield

STL Coral J. Shields

Southern Region

ATL George Martin
Loretta Guess

CLT Judy Ferguson

DAL Jo Ann Smith

ELP Barbara Hughes

HLG Neita Ramos

HOU Dan Adams
Mary Martinez

MEM Jim Carson

MIA Annabel Erdos
Bruce Slusser
Rose M. Yarbrough

NOL Lou Taylor

SNA Claudia Livingston
Mary Abrell

SRO Eleanor Schleter
Gloria Williams
June Hopson

List of Commerees (Continued)**Eastern Region****ALB** Thelma Clanton**BAL** Lisa Falkenstein**BOS** Connie Da Silva**BUF** John Rugani**CHA** Everilda Hendericks**ERO** John Bramblett
Mary Dempsey
Sandra Bushey**HAR** Linda Ianni**NEW** Addis Brooks
Katherine Poole**NOR** Amanda J. Klapp**NYC** Florence Scarpa
John Bonow
Rudy Marotta**PHI** Russell Pough**PIT** Adda Skosnik**POM** Lenora K. Bangert**PRO** Sarah Osofoky**SAJ** Luz Cabezas de Ruz**STA** Catherine Earle**WAS** Nanetta Bidy**Western Region****LOS** Mary Morawe
Stephen Clauser
Susan Verdoliva**PHO** Irma Aguillar
Martha McKee
Minerva Cornejo**SFR** Ken Pace
Tom Keathley**SND** Helen Epner
Marie Wallin
Paul Hoover**SYS** Charlene Malumaleumu**WRO** Melvin Straughter
Steve Hlavaty

Agenda

Sunday, July 14, 1985

2:00 - 5:30 p.m.	Conference Registration
5:30 - 6:30 p.m.	Get-acquainted Reception
6:30 - 8:00 p.m.	Sit-down Dinner
	Opening:
	Welcome:
	Irvin Klavan
	Greetings:
	John Murray
	Commissioner's Address:
	Alan Nelson

Monday, July 15, 1985

7:00 - 8:00 a.m.	Breakfast
8:00 - 8:15 a.m.	Administrative Remarks: Carmen Ray
8:15 - 8:30 a.m.	Conference Agenda: Irvin Klavan, Assistant Commissioner Records Systems Division
8:30 - 9:00 a.m.	Regional Resources Allocation Model - Ed Lyle
9:00 - 9:15 a.m.	Program Highlights: Irvin Klavan
9:15 - 10:00 a.m.	Remarks: Records System Division Division Branch Directors: James R. Duell Information Services Branch Cecil G. Christian, Jr. Records Management Branch Victor Rodriguez

11:00 - 11:30 a.m.

Adjudications/Naturalization
RACS/Remoting
Lloyd Sutherland
Adjudications/Naturalization

11:30 - 12:30 p.m.

Lunch

12:30 - 2:00 p.m.

Workshops, Session #1 on G-23
Workload Reporting:

Records - Kay Carver, Tedd Spears
Information - Ed Lyle, Sheldon Lehner,
Information Services Branch
FOIA/PA - Russ Powell, John Sowders,
Information Services Branch

2:00 - 3:30 p.m.

Workshops, Session #2 on G-23
Workload Reporting

Records - Kay Carver, Tedd Spears
Information - Ed Lyle, Sheldon Lehner,
Information Services Branch
FOIA/PA - Russ Powell, John Sowders,
Information Services Branch

3:30 - 4:00 p.m.

Break

4:00 - 5:30 p.m.

Workshops, Session #3 on G-23
Workload Reporting

Records - Kay Carver, Tedd Spears
Information - Ed Lyle, Sheldon Lehner,
Information Services Branch
FOIA/PA - Russ Powell, John Sowders,
Information Services Branch

6:30 - 7:30 p.m.

Dinner

Tuesday, July 16, 1985

7:00 - 8:00 a.m.

Breakfast

8:00 - 9:20 a.m.

Regional Highlights:

Northern Region - Carl M. Green, Jr.

9:20 - 10:00 a.m.	Eastern Region - John Bramblett Security - Walt Cory, Bill Polli, Russ Powell
10:00 - 10:30 a.m.	Break
10:30 - 11:00 a.m.	DIAS - Loretta Shogren
11:00 - 11:45 a.m.	Workshop Reports on G-23 Workload Reporting: Records - Maxine Boren, Seattle Information - Susan Verdoliva, WTSC FOIA/PA - Ken Pace, San Francisco
11:45 - 1:00 p.m.	Lunch
1:00 - 2:00 p.m.	Workshops, Session #1: Program Policies, Procedures, Operational Problems - Norma Johnson FY 86 Program Priorities - Irvin Klavan Field Resource Management - Pat Salazar, Denver
2:00 - 3:00 p.m.	Workshops, Session #2: Program Policies, Procedures, Operational Problems - Norma Johnson FY 86 Program Priorities - Irvin Klavan Field Resource Management - Pat Salazar, Denver
3:00 - 3:30 p.m.	Break
3:30 - 4:30 p.m.	Workshops, Session #3: Program Policies, Procedures, Operational Problems - Norma Johnson FY 86 Program Priorities - Irvin Klavan Field Resource Management - Pat Salazar,

7:00 - 8:00 a.m.

Breakfast

8:00 - 8:05 a.m.

Introduction of Guest Speaker:
Irvin Klavan

8:05 - 9:30 a.m.

INS Automation Activities:
John W. Murray,
Associate Commissioner,
Information Systems

9:30 - 10:00 a.m.

Project SAVE: Stephen Fickett,
Information Systems

10:00 - 10:30 a.m.

Break

10:30 - 11:15 a.m.

Workshop Reports:

Program Policies, Procedures, Operational
Problems - Mary Abrell, San Antonio

FY 86 Program Priorities - Jim Carson,
Memphis

Field Resource Management - Linda Ianni
Hartford

11:15 - 12:00 p.m.

Project Inform:
Dan May, Project Management Branch

12:00 - 1:00 p.m.

Lunch

1:00 - 2:00 p.m.

Workshops, Session #1:

ACS/FARE Systems-
Terry O'Reilly, Adjudications/
Naturalization
Jerry Webster, Holly Clow, Business
Systems Branch
Pat Bolinger, RSD

FOIA/PA Case Tracking System -
John Sowders, Russ Powell

Central Index System-
Harlin Keister, Mission Systems Branch
Bill Polli, Records Management Branch

ACS/FARE Systems -
Terry O'Reilly, Adjudications/
Naturalization
Jerry Webster, Holly Clow, Business
Systems Branch
Pat Bolinger, RSD

FOIA/PA Case Tracking System -
John Sowders, Russ Powell

Central Index System -
Harlin Keister, Mission Systems Branch
Bill Polli, Records Management Branch

3:00 - 3:30 p.m.

Break

3:30 - 4:30 p.m.

Workshops, Session #3:

ACS/FARE Systems -
Terry O'Reilly, Adjudications/
Naturalization
Jerry Webster, Holly Clow, Business
Systems Branch
Pat Bolinger, RSD

FOIA/PA Case Tracking System
John Sowders, Russ Powell

Central Index System -
Harlin Keister, Mission Systems Branch
Bill Polli, Records Management Branch

4:30 - 5:00 p.m.

IMDAC Plans and Status -
Stuart Davis, Sid Massey, Bill Devany
Data Systems Division

5:30 - 6:30 p.m.

Dinner

Thursday, July 18, 1985

7:00 - 8:00 a.m.

Breakfast

8:00 - 9:00 a.m.

District Offices Special Programs:

Automation Impact:
Chicago - Jim Fleming

Return of A-Files From Operating
Units: Washington, D.C., Nan Biddy

9:00 - 9:30 a.m.

**Integrity:
Walter Connery, Director
Office of Professional Responsibility**

9:30 - 10:00 a.m.

**Highlights of New Labor Contracts:
Dennis Ekberg, Labor Management
Relations**

10:00 - 11:00 a.m.

**Remarks:
Doris Meissner, Executive Associate
Commissioner**

11:00 - 12:00 p.m.

**Open Discussion of Conference Events
and Closure**

12:00 - 1:00 p.m.

Lunch

1:00 - 2:00 p.m.

Hotel Check-out

National Records & Information Conference

This was the second annual Records and Information conference of INS and, judging by the positive response and by the amount and quality of information exchanged between attendees, there will be quite a demand for continued annual conferences. This conference enabled Service Records and Information Management personnel, located throughout the four regions, to meet with Central Office (CO) staff. It was an opportunity for field personnel to learn of new developments, systems, ideas, etc., that are being initiated or explored by their cohorts in the field. Formal presentations were made by representatives from each of the four regions and summaries of the presentations are included in this report.

This conference also presented CO management with a forum in which to summarize the achievements of the past year and to present the priorities and goals for the coming year. Summaries are included of presentations from each of the Division Branch Directors: James Duell, Cecil Christian, Jr., and Victor Rodriguez. Additional topics were discussed that seemed to have a very direct impact upon the day-to-day working environment of the conference attendees. These included: security and password issuance, the new labor contract, ACS/FARE, RACS, and several separate reporting issues.

Conference attendees were given the opportunity to hear from high level officials of INS, including the Commissioner, Alan Nelson, the Executive Associate Commissioner, Doris Meissner, and the Assistant Commissioner, Adjudications/Naturalization, Harriet Marple. Verbatim transcriptions of their talks are included in this report. The schedule for this year's conference also included more workshop time than the first annual conference, reflecting feedback received from last year's attendees that this time was very productive and should be increased.

This conference also featured an "automation day," which showcased some of the new computer systems that are designed to enhance productivity by putting more information on-line and making that information more accessible to appropriate personnel. John Murray, Associate Commissioner, Information Systems, fittingly began this day by summarizing the automated activities of INS using computerized, screen projected, visuals. A verbatim transcription of his talk and hard copies of the slides are included in this report.

A listing and a brief description of the systems that were presented throughout automation day:

- Project SAVE--enables States to directly access a database within INS for the purpose of determining entitlement eligibility. Future goals include establishing national guidelines for this system.
- Project Inform--provides bar coding technology to facilitate the tracking of

notification, and approval notification; and FARES provides automated support in receiving applications and producing fee receipts.

- FOIA/PA Case Tracking System--gives the user greater ability to control, update, or track status of requests; assists in processing by generating control records, interim replies, and standard correspondence; and generates reports such as displays of individual control records, and hard copy of pending and FOIA/PA annual statistical reports.
- Central Index System--consists of a set of computer programs which provide five major system functions: search the database; display the data; add transactions; record maintenance; and allow A-file transfer. It is user friendly, menu driven, and is protected by multiple levels of security control.

conference did not officially end on Thursday until everyone had assembled on the s of the hotel lobby for a group portrait. It seemed to signal a renewal of team t that the attendees were certain to carry with them as they departed for home.

Sunday, July 14, 1985

I can think of three things as I get up here at the stand. First of all, I see this candelabrum--if you're expecting Liberace, you have another thought. Second, hearing Irv's tight ship approach here, he didn't give me any time limit, but he's awfully close, and the hook might come out any time. So I will try to move along fairly rapidly. Third, I would certainly like to agree with John; that is the lousiest joke I've ever heard! If there was any concern about Brandemuehl this time, I'm sure he will be invited back. But Irv, Libby, and Joanne, my wife Joanne by the way, if you're wondering who this good looking lady is, she wanted to find out what I was doing tonight, so . . . John, I appreciate your nice opening remarks.

Let me just make a couple of general comments. I certainly would like to welcome all of you here, particularly those who have travelled a long way to the nice, cool Washington summer. We're pleased to have you. I've read the agenda to your conference and it is certainly a very thorough one. As I know, the conference you had last year (and I also enjoyed the opportunity to be with you then) was very productive. I think you accomplished a lot. I know you had many, many years without a conference, so it's good to see one on a regular basis. Much has occurred since your last meeting and I think mostly for the good. We got a lot of issues in difficult areas in the Immigration Service, but we've made a lot of progress, certainly due to you and your people where you're really working on the tough, tough issues before you. You know, in order to get prepared for this speech I asked for some information. There were two approaches that I followed in preparing for this talk. One, John's people gave me a verbatim copy of my last year's speech. And the other thing is, I went to church this morning. Now, I was wondering why I got a verbatim copy of last year's speech, and I sort of figured well, maybe they said, "we'll give you this and you do it until you get it right." The church I wanted to mention because I knew many of you would be impressed if I told you I did go to church and also that I did stay awake through the sermon, because there was a little story that the minister told and I'll pass that on to you a little later. I'll make you wait and stay awake yourself.

Your work is so critical to the Service and really, it falls right into our old role of management. Like any organization, whether you're a private company, a government organization, or whatever, it's really going to function on how well you do your fundamental duties and how well you're organized and how well you communicate. I think we've worked very hard in the last few years at INS to do just that. While we haven't done everything right, for sure, I think we have established a very good solid management system. We've got excellent managers in place, and we've got a good selection procedure for top managers, the top Central Office District Directors, Border Patrol Chiefs, what have you. I think that worked well. And on down the line we set up a decision memorandum process that I hope all of you know about and understand, because it's intended to reach down into the organization, so that any of you, if you have an idea or a policy direction that you think ought to be pursued, have the system that's out there to be sure that your ideas can be funneled up through the line and be considered. If you don't know about it, and I hope there are not many in that category,

to what John said in an overall theme, is to improve our Immigration Service image and professionalism.

Let me talk about some of the aspects of your work that are so important. You clearly are the front line for your courtesy and your efforts to deal with the public. These services that we give are a key element that must be continually emphasized for all of us because this is how we're going to be perceived by the public. We must modernize and update our operations. We've done a lot, but there's a long way to go. I think we all realize that. We must realize that there are horror stories in our own Service, sometimes real, sometimes perceived. We constantly hear the story (and it just came out in a recent study on our statistical review) bringing up the New York Office, an example of the boxes full of files. I don't know how true that is. Apparently, some of this is may be old and maybe it's been corrected. We still are facing this situation where it's perceived or in some cases true that we don't have good filing systems, good records systems, or good systems that deal with the public.

In that regard, I'll tell a true story. I won't make you go too far in the speech. This was what the minister told us today. There was this man who went to the doctor who had a hearing problem. The doctor said, "Well, I think the thing that is causing your loss in hearing is that you've been drinking too much. You're going to have to cut back on the booze. If you do that, your hearing will be alright. I want you to do that and come back in a month, and we'll check you out again." The man comes back in a month. The doctor checks him out and says, "Well, you're not hearing well; you're obviously still on the booze." The patient said, "Well, I was very good for three weeks. I cut off entirely, and I was hearing fine. Then, I decided that what I was hearing was a lot more unpleasant than the booze, so I went back to booze." Now, I'm not quite sure how the minister worked that into the sermon, but I think it has application to us. So often it's easy to fall back into the old system or "this is how we've done it for years, why change" and so forth, and not realize that we're not liking what we're hearing, and it's easier to revert. Maybe, we'd better listen and we'd better hear. Clearly, the problem with lost files, where those exist, is something that we must deal with.

I am proud of the work you've done. I certainly want to emphasize that. I think due to Irv's leadership and John's, we've made some dramatic progress due to your good efforts in doing that. Let's talk a little bit about the accomplishments. John mentioned the Telephone Service Center. The Eastern Center was opened a year ago handling calls up and down the Eastern seaboard. That has now surpassed the millionth call this year. We've now opened the Western Regional Center. It was opened in December of 1984. That covers a good part of California. That's now surpassed the half millionth call in a 6 to 8 month period.

I recently was in Los Angeles and the District Office. I hadn't been there for a while and the new waiting room reception area is outstanding, and real compliments to those in the Los Angeles and the Western Region. That is a model. I hope the rest of you can, if you're out there, be sure to see it. It makes you feel good. It's like going into a nice hotel and a nice lobby. You have a good feeling as opposed to something that doesn't have that. They've got the video equipment where people can get information

effectively with the public. Some of the accounting programs, the FARE System that is going in place regarding the fee accounting and receipts, again, can make our job more effective, and that is working well. The Freedom of Information Case Tracking System has been very effective, and cut down dramatically the reduction in backlogs in that area. Probably, the Contact Rep is the most important of anybody because that person is out there in front meeting the public and dealing with them. We must remember that, probably different from most government agencies, we often are the first government agency that many people will ever deal with. It is so important; these people often don't speak the language well; they're new to the country; they don't understand a lot of things. If they're treated rudely or they don't understand, they're likely to have a bad image not only of INS but of a lot of the country's institutions. Conversely, if it's a pleasant experience and they're treated well, they feel they're getting good service. Even though at times we often have to say no, if they know they're treated fairly, then they'll have a much better feeling. Last year, we naturalized a quarter of a million people, one of the highest numbers ever naturalized in this country. That is clearly our goal, too. As people come in here as immigrants, we want them to go through the process to become citizens, to become an integral part of our society. We can play a very, very important part in that. The Contact Reps and all of the line are so important in that area. Regarding the courtesy campaign that the Western region started, but the Southern Region has pursued, as well as the Northern now, I know I felt initially that the buttons and posters were perhaps a little corny. But, you know, when I was out in San Francisco, and I've been in other offices and seen the poster on the wall, "We Serve with Courtesy and Pride," it makes you feel good because it's sitting behind the Contact Rep or somebody else. Our people see it, our customers see it, and it's just a feeling that makes you mean it. That's worked very well. My compliments to all of you for doing that, for carrying on that campaign. It's not a gimmick, it's not just something you do for a month or so and then drop. It's really a reminder for all of us of what our job is. The service is part of our name, and it's so important to do.

Some other things that maybe don't get as much attention, but things you've worked on and they're important: Mail economy project, for example, where the General Services Administration and INS Postage Reduction Program saved almost \$700,000 this fiscal year. The Cuban Adjustment Program in Florida, where we're in the process of adjusting 120,000 or 100,000 people and its going very smoothly, again, due to a lot of the good efforts of the organization that many of you have been involved with. Some of the data we're gathering in the SAVE Program, Systematic Alien Verification for Entitlements, has worked so well, and will save us a lot of money. We've produced in New York alone some 10,000 names from our programs for that project, some 42,000 student forms for various foreign students, and some 10,000 names for Puerto Rico for verifying citizenship.

Again, the courtesy thing is so important, and just to stress it, I'll tell a story that's almost as bad as John's. Some of you might have heard it because I do have trouble getting good jokes and you can see we need help in that area. If any of you are good joke writers, please volunteer. As we all know, our president has had some surgery and so forth and everything looks like it's going well. The story of the heart transplant comes to mind where this person is in need of a heart transplant and the doctors inform

person. In looking at those three candidates, I feel that the one from the INS person is the only heart that's never been used."

I think the point is that often we have that reputation. Again, I think we are coming out from that. I am really proud of the efforts that we all are pursuing to be sure that we don't have that reputation "as the heart that's never used" or the person who doesn't smile and so forth, because we have a good Service here and we have good programs, and not only an organization we're proud to work with, but one that can continue to be in the public eye, as I mentioned, and do a great deal for this country.

Let me talk about several other of the aspects generally in the Service beyond your area. You might be interested in this. As you know, Senator Simpson has reintroduced his bill as S.-1200 and we've completed hearings. It's basically a good bill for the Immigration Service. It improves even over last year's bill. So, overall we're really pleased with it. It has a long way to go. He is hoping to go into markup in the next week, and possibly even Senate floor action before their summer recess by the end of this month. That's very optimistic, but it's possible. Then, we'll be back in the House again as we've been the last several years. The vibes are a lot better this year. If we get the thing rolling, it just might make it. The third time might be the charm. So, we're optimistic. It is important for you to understand the basic elements of this bill--the fact that we need it. It also has some significant resources in it for INS and has some direct implication obviously. We hope we can move it. As you talk in your communities with your friends, and community organizations, it's very helpful to be talking about the need for this reform because we do need it, and it will help us a great deal in doing our job better. So, we hope you will keep apprised at what is happening and again, speak out as you have the opportunity. We often talk about the need for legislation, but you don't just wait for Congress. For one reason, Congress doesn't always move that fast. We can do a lot ourselves, and we've done a lot.

As I mentioned earlier in the priorities area and very basic management approaches, we're doing a great deal. We also have a great deal of power in the regulatory realm. We talked about these earlier for automated systems. We, again, are reviewing our fee structure because under Federal guidelines you're supposed to adjust your fees even as often as annually to be sure that they meet the costs of the services. So, we will probably in the near future be raising some fees and might even be lowering some to be sure we are charging the proper prices. There are other areas. The asylum area is one where we're pursuing regulations. We can do that without having it done through statute. We might do some of that in the agricultural area, where if legislation doesn't pass we can do by regulating some of the aspects to improve the existing temporary foreign agricultural workers. In the area of student regulations, we passed regulations a few years ago. While we made some good changes, we also created some problems, and we're needing to adjust them. We are pursuing similar regulations in the H's and L's relating to businessmen where, again, we can do a lot. In your areas, maybe you don't get into all these particular approaches, but you do see a lot of the Immigration Service and it's important for everybody, whether they're from Information, Records, or they're Enforcement or Examinations or anywhere else to be sure that you feel apart of the team. If you have a thought on procedures, a thought on regulations or anything else,

cases. We won all of them. We're 7 and 0 in the Supreme Court in the last two years and that's unprecedented in the Immigration Service. That kind of record is fairly well replicated down in the other Federal courts, district courts, and the circuit courts. Because we're in, we're being aggressive, we're putting forward our case. We don't win them all. We shouldn't win them all, but we are winning what we should. We're not losing when we shouldn't be and that's important.

In the enforcement area, I've mentioned this before but I'll just cover it again because so often it's easy for all of us to be confused. What do we do, and what approach? We have a clear goal under our statutory mandate to deter or to prevent illegal immigration, largely, so we can be assured that our legal immigration, which is roughly half a million a year, continues. We are a nation of immigrants. We want to continue that. The Immigration Service has a big role in that regard, and by deterring illegal immigration, it enables us to keep our system in place. That's important for all of us to remember. You hear stories, and people complain but we have the role to enhance legal immigration and to deter illegal. Three approaches in dealing with the illegal problem. One is the border. As you know, this current year we have added a thousand additional personnel to the border. This is the largest increase we've ever had. Over the last four or five years we've added a great deal of equipment and technology, and automation is now coming into play, all of which allows us to do the job better, and we are doing it better. We're apprehending more than ever. I think we're doing a significant amount in deterring illegal immigration. We all know you can't stop it all at the border. You've, therefore, got to deal with the interior. People coming here with the simple thing of getting a job or on getting on some kind of benefits. That's why we need the legislation and the penalties against the employers. But, short of that, again, we can do a lot even without sanctions. We hope to get them. It's important to get them. But, we have been working more and more, and we want to continue this work with employers, and work with labor unions, in a cooperative venture. Make it clear that it's not in the employers interest as a matter of patriotism or as a matter of good business to hire illegal aliens. In cases where there have been blatant violators--like some recent examples in Los Angeles, where one factory making furniture had over 200 illegal aliens out of a workforce of 400, at an average wage of over \$5.00 an hour, semi- low-skilled work right in an area where there are a lot of Hispanics, and Blacks, clearly in need of some jobs--you can't tell me that those aren't the kind of jobs that American citizens or lawful aliens will take, will want, and that the employers of some of those cases just won't hire citizens. That's why they're not getting the jobs. So, we want to work more with the Internal Revenue Service with the wage and hour, and with OSHA and other organizations, the Department of Labor, state governments, as well as some more concentrated efforts on our own and really go after some of these blatant violators. We also are considering and will probably pursue some affirmative litigation in some of those areas. We can do alot in this job market. Again, take some innovative ideas and some good thoughts, and we want to welcome that.

The other area I mentioned earlier is SAVE, our welfare computer matching. Due to the good work of your organization information systems, we now have the capability we've never had before. We have a computer ability to match with states so that they can check to see which alien is applying for welfare or unemployment or other benefits illegally. If they're legal legally here, they're entitled to benefits unless they have some

entitled to benefits. By using our system, those who are entitled get the benefits faster. This is an area that we, again, can do a lot in, particularly in your organization, to be sure we have our records operating effectively, and our computers up-to-date to give this kind of good service. This will allow us to do our job better and to deter illegal immigration. If we can get the legislative addition, we'll really be down the track very well. When I talk about these three approaches I often use the example of the football team. In order to get a winning team, you need a good offense, a good defense, and good special teams. We need good border enforcement, interior job market placement enforcement, and entitlement enforcement. You'll probably wonder why the hot July day you're talking about football, but as you might know, summer practice is about ready to start for the National Football League. I am from Oakland, and it still hurts me when I want to talk about the Oakland Raiders, but I now learn (probably not many of us watch the USFL, I think) that the Oakland Invaders are playing the championship game tonight. I do, again, want to emphasize the service aspects of our business and remind you of the important role you play in a person's first contact with this country. Let's remember that as we look at the banners up there that say "We Serve with Pride, We Serve with Courtesy" or what have you.

Let me end with something that I'd like to leave with you as a stimulating thought. Irv and Libby and I were talking at dinner about this and this is another very exciting thing for the Immigration Service. That regards the future use of Ellis Island. You're all aware, of course, of the big campaign that's been underway in the last couple years to restore the Statue of Liberty and Ellis Island, and the major fund raising that's going on. Next Fourth of July 1986 there will be a major rededication of the Statue of Liberty due to the work that's been done by this Foundation headed by Lee Iococa to raise the money to restore. As you know, it's underway. You see the pictures of scaffolds and so forth. Also, underway right now is the restoration of the Great Hall on Ellis Island. This is the processing hall where many millions of people that came to this country from the early 1900's (up until they closed it in 1954) came through. This will be converted into a living museum. That's also a part of the same funding. I think that we'd all be very proud of our role. What I want to talk to you about is what is to be done about the remaining buildings on Ellis Island. The Great Hall is about one-third of the buildings. In addition to that there's a large building (what had been the hospital) and a number of war buildings, all beautiful brick buildings that are very structurally sound and can clearly be restored. The insides are all gutted because they had over 30 years of disuse and water damage and whatever. There's a lot of work to be done. The issue is whether those buildings will be torn down or converted to some other use. We have really gotten into the act lately, and it's sort of exciting. There's a tremendous possibility. Again, I mention this because I would like to stimulate all of you to think about what could be used and what could be the proper use of the buildings. What we propose, this land is owned by the Department of Interior, the National Park Service, so they will operate it. The Foundation has the money. So, we're trying to get the money together with the owner to do something about it. What our proposal is is along these lines. Turn these other buildings into a conference center, a training center, a cultural center, and an education center. Really, a multi-use function with those various components. When you think about it, every time you read the paper or talk to somebody you come up with a new idea. Obviously, maybe this conference a few years from now could be held on Ellis Island; how dramatic for INS. Certainly, a number of

the United Nations, the World Bank, World Health. Many there in New York could have conferences there, conferences on international issues relating to labor, health, or to drug abuse. Many others, again, could use this. Other thoughts that we've developed just to get thinking about it, brainstorming (because that's all we're doing): What better place for foreign students who we deal with so much to encounter the United States a week long orientation session at Ellis Island. The same could be true for AFS or other high school age students who would come here. Or they could maybe also spend a weekend before they depart. Irv and I were talking about the military where they have a lot of training of war and military officials here usually at our military bases. They get into some study of U.S. institutions and government. What would be better than to have them go to Ellis Island for a weeks training? They would really get the feeling of America and what it's about. There's a lot of possibilities. This could still go and they could be torn down, but I think we have a lot of opportunity as a broker because we're not looking into running or to be a landowner. We'd like to work with the National Park Service with the Statue of Liberty, Ellis Island Foundation. So I would stimulate and welcome your thoughts and ideas of uses of the kinds of things I described or anything else.

So, again, I want to thank you for the opportunity to be here. I tried to keep close to your time frame, but I welcome you to Washington. I also hope you have a very productive and enjoyable conference.

Monday, July 15, 1985

Records Systems Division (RSD) has continually pursued various approaches and applications for determining, recommending, and optimizing:

- the annual CO/Regional budget/FTE resource levels within the overall Records and Information Program (Decision Unit 3230);
- fund availability; and
- subsequent resource allocations/reallocations.

In furtherance of this goal, RSD has held extensive discussions with representatives of CO Adjudications and Naturalization to explore potential application of their automated Resource Allocation Program methodology to the Records and Information Program. Based on consultations with CO Examinations representatives, RSD has developed an automated Program Resource Allocation model.

This model utilizes historical G-23/PAS workload/performance data to develop or project subsequent fiscal year workload data for each region, using standard rates of completion (units/hours), and related work year requirements. Additionally, the model applies the projected results to the total available FTE and calculates the recommended staffing for each Region. The model represents a major potential management tool for use in developing annual budget resources requirements and subsequent allocations/reallocations.

RSD Staff gathered G-23 workload data on 11 different workload activity indicators, such as A-file creations, Files Transfer, Consolidations, etc; seven indicators represented Records activities and four represented Information, including FOIA/PA. Regional workload and workhours were derived from the G-23 reports, and completions and receipts data were extracted from information in those reports, for each of the four regions over a 4-year period: FY 81 - FY 84. It must be pointed out that at the time of developing the completions and receipts data, FY 84 data were not complete and only 6 months of data were available. Therefore, to derive FY 84 data, this data had to be extrapolated to reflect the entire year.

Exhibits A and B look at numbers of "Completions" for each of the 11 activities at each of the 4 regions for each of 4 separate fiscal years. "Completions" are matched with the productive hours to complete those items of activity by region and fiscal year. The objective of these tables is to ultimately derive a "Time (in hours) to Complete" each item of activity. Dividing the productive hours by the completions for individual items by region and by fiscal year, an average completion time for these categories is derived. This was done for all 11 activities.

Exhibits C and D deal with "Receipts"--these are actual receipts over a 4-year period by region. Adding together the 4 fiscal years of actual receipts by activity and region, and dividing by 4 results in the "average receipts" estimate for each region. These averages

only an average for all regions. Therefore, for all four regions in the example, the "Average Completion Time" is .056 hours. This is where the model derives the projections for allocation of resources by region. The derivation of the "Average Completion Time" (in hours) becomes the common relationship among the four regions to project workhours for resources distribution.

During the development of the model, it was discovered that it did not address all productive hours available for the Records and Information Program area. It was found that approximately 30% of the production hours available in the G-23 data were unaccounted for in the identified Information and Records line item activities. Therefore, an additional line item of activity was inserted to include a 30% factor to address these unaccounted for productive hours.

Above the double line shown on exhibit E is the total regional distribution of productive workhours. This distribution is used to derive the Workload Distribution Percentages. The percentage is obtained by dividing each region's projected workload by the total projected work hours. As an example, the ER's 29.5 percent was achieved by dividing 297,062 hours by the total 1,008,523 hours. The approved regional authorized force for FY 1985 is 895. Applying the derived regional workload distribution percentages to the total approved authorized force results in a new authorized force level for each region. This same procedure would apply to FTE's, too.

The last two columns, Auth Force and FTE's, of exhibit E show the actually approved resource distribution as it exists today. Application of the resource allocation model would require some major adjustments to the present force and FTE levels, especially in the ER and SR.

This model illustrates how important it is to accurately report workload data on the G-23. It must be realized that this model is a first-cut of a method that could be used for resources allocation planning, and for developing and justifying future resources distribution and requirements. At this time, the model is only a method to be examined and discussed to determine its potential Servicewide benefits and shortcomings for planning, development, and allocation of the Records and Information Program Resources. Adjudications is currently using a similar model to make adjustments in their staffing among the regions. However, Records Systems will not use past data as a basis for making major changes in resource allocations. Definitions still need to be refined and standardized to ensure that each region is measuring the same thing.

REC 627C

FILE:

6-23 WORKLOAD DATA

REGIONAL WORKLOAD AND PERFORMANCE FOR FY81, FY82, FY83 AND FY84

REC 627

6-23 WORKLOAD DATA

PART 1--COMPLETIONS

(IN ACTUAL WORKLOAD UNITS)

DATE PREPARED: 25-Nov-84														
DESCRIPTION	REGION	C O M P L E T I O N S				TIME TO COMP (IN HOURS)				TIME TO COMP/UNIT (IN HOURS)				AVE COMP TIME (HOURS)
		1981	1982	1983	1984	1981	1982	1983	1984	1981	1982	1983	1984	
ATIONS	ER	175,638	255,346	168,165	211,025	12,041	12,531	11,833	12,401	0.069	0.049	0.070	0.059	0.062
	SR	251,114	162,289	162,539	136,687	15,897	9,782	9,463	8,256	0.063	0.060	0.058	0.060	0.061
	NR	103,817	123,249	122,232	96,612	7,350	7,496	7,274	6,708	0.071	0.061	0.060	0.069	0.065
	MR	298,026	211,660	295,329	170,563	15,469	11,223	11,412	7,168	0.052	0.053	0.039	0.042	0.046
	TOT	828,595	752,544	748,265	614,887	50,757	41,032	39,982	34,533	0.061	0.055	0.053	0.056	0.056
FFERED	ER	103,926	163,198	130,036	106,112	6,137	9,520	9,357	11,351	0.059	0.058	0.072	0.107	0.074
	SR	74,041	69,894	90,785	93,598	5,045	4,877	5,781	5,301	0.068	0.070	0.064	0.057	0.065
	NR	58,243	70,304	105,300	89,355	4,257	4,562	6,097	5,634	0.073	0.065	0.058	0.063	0.065
	MR	114,825	94,204	97,050	71,643	5,493	3,867	4,004	2,608	0.050	0.041	0.041	0.036	0.042
	TOT	351,035	397,800	423,171	360,708	21,132	22,826	25,239	24,894	0.060	0.057	0.060	0.069	0.062
IONS	ER	34,198	31,782	26,146	31,679	6,116	5,872	5,225	6,768	0.179	0.185	0.200	0.214	0.194
	SR	21,086	22,456	15,739	10,394	2,139	2,229	2,202	1,196	0.101	0.099	0.140	0.115	0.114
	NR	14,514	24,592	19,302	20,414	1,741	1,850	1,707	2,300	0.120	0.075	0.088	0.113	0.099
	MR	20,973	17,263	28,755	9,222	1,606	1,617	1,765	1,166	0.077	0.094	0.059	0.126	0.089
	TOT	90,771	96,093	90,942	71,709	11,602	11,568	10,899	11,430	0.128	0.120	0.120	0.159	0.132
TS	ER	97,186	132,754	73,716	93,731	7,999	6,781	5,978	5,697	0.082	0.051	0.081	0.061	0.069
	SR	36,166	30,385	46,202	74,117	2,121	2,339	3,184	2,901	0.039	0.077	0.069	0.039	0.061
	NR	26,250	35,742	47,066	47,937	2,995	2,565	3,049	3,804	0.114	0.076	0.065	0.079	0.084
	MR	97,365	95,832	140,473	86,788	5,178	6,165	7,835	5,679	0.053	0.064	0.056	0.065	0.060
	TOT	256,967	292,713	307,457	302,573	18,293	17,850	20,046	18,081	0.071	0.061	0.065	0.060	0.064
E OFCS REQ	ER	89,542	93,984	97,717	103,930	5,321	5,566	5,535	7,138	0.059	0.059	0.057	0.069	0.061
	SR	90,515	79,619	99,950	120,610	5,724	6,251	7,463	5,725	0.063	0.079	0.075	0.047	0.066
	NR	38,865	70,465	110,076	82,821	3,006	4,436	6,965	6,247	0.077	0.063	0.063	0.075	0.070
	MR	103,822	95,439	172,537	121,984	6,555	4,385	6,412	4,316	0.063	0.046	0.037	0.035	0.045
	TOT	322,744	339,507	480,280	429,345	20,606	20,638	26,375	23,426	0.064	0.061	0.055	0.055	0.059
ER					331,245				10,352				0.031	0.031

(IN ACTUAL WORKLOAD UNITS)

DATE PREPARED: 29-Nov-84

DESCRIPTION	REGION	C O M P L E T I O N S				TIME TO COMP (IN HOURS)				TIME TO COMP/UNIT (IN HOURS)				AVE COMP TIME (HOURS)
		1981	1982	1983	1984	1981	1982	1983	1984	1981	1982	1983	1984	
GENERAL	ER	669,118	776,075	926,913	996,125	21,423	22,775	25,506	28,413	0.032	0.029	0.028	0.029	0.029
	SR	305,501	279,460	295,166	463,142	12,309	8,519	8,344	16,146	0.040	0.030	0.028	0.024	0.031
	NR	456,657	528,475	775,052	851,570	9,448	10,561	15,165	15,434	0.021	0.020	0.020	0.018	0.020
	WR	632,933	585,636	515,807	719,826	15,626	12,987	11,272	14,428	0.025	0.022	0.022	0.020	0.022
	TOT	2,044,209	2,169,646	2,510,938	3,250,663	58,806	54,842	60,287	74,421	0.028	0.025	0.024	0.023	0.025
BY PHONE	ER	1,443,769	1,284,201	1,303,531	836,487	72,694	69,479	65,556	51,857	0.050	0.054	0.050	0.062	0.054
	SR	902,521	918,324	1,044,322	1,050,758	40,903	44,341	48,927	42,370	0.045	0.048	0.047	0.040	0.045
	NR	955,258	948,046	884,909	1,009,104	53,487	51,778	48,752	51,011	0.056	0.035	0.035	0.051	0.054
	WR	837,037	802,731	904,357	1,028,431	51,578	49,010	45,954	39,478	0.062	0.061	0.051	0.038	0.053
	TOT	4,138,585	3,953,302	4,137,019	3,924,780	218,662	214,608	209,189	184,716	0.053	0.054	0.051	0.047	0.051
IN PERSON	ER	1,203,560	1,178,191	1,325,907	1,359,095	82,651	80,050	75,309	84,011	0.069	0.068	0.057	0.062	0.064
	SR	1,355,790	1,255,248	1,290,463	1,346,597	49,394	43,182	45,140	41,393	0.036	0.034	0.035	0.031	0.034
	NR	694,470	765,162	680,185	627,069	40,748	38,489	37,812	42,153	0.059	0.050	0.056	0.067	0.058
	WR	1,498,819	1,474,005	1,352,310	1,328,518	67,865	70,280	66,154	69,756	0.045	0.048	0.049	0.053	0.049
	TOT	4,752,639	4,672,606	4,648,865	4,661,279	240,658	232,001	224,415	237,313	0.051	0.050	0.048	0.051	0.050
ERENCE	ER	176,540	136,645	146,701	138,519	36,077	28,741	25,811	21,398	0.204	0.210	0.176	0.154	0.186
	SR	115,743	101,485	124,293	122,183	10,333	9,244	10,719	8,907	0.089	0.091	0.086	0.073	0.085
	NR	120,167	114,239	116,039	156,497	11,709	10,478	11,281	13,010	0.097	0.092	0.097	0.083	0.092
	WR	136,195	147,492	148,484	135,026	14,470	14,283	15,009	14,243	0.106	0.097	0.101	0.105	0.102
	TOT	548,645	499,861	535,517	552,225	72,589	62,746	62,820	57,558	0.132	0.126	0.117	0.104	0.120
TIVITY	ER	7,073	8,891	11,221	9,488	33,392	27,177	23,430	30,081	4.721	3.057	2.088	3.105	3.243
	SR	4,808	5,254	6,463	7,806	9,003	7,962	8,238	8,441	1.873	1.515	1.275	1.081	1.436
	NR	8,125	6,020	6,877	6,372	4,205	4,612	5,485	6,745	0.518	0.766	0.798	1.059	0.785
	WR	5,459	5,498	5,941	5,470	13,896	12,871	12,725	11,164	2.546	2.341	2.142	2.041	2.267
	TOT	25,465	25,663	30,502	28,336	60,496	52,622	49,878	56,431	2.376	2.051	1.635	1.924	1.996

ACTIVITY DESCRIPTION		R E C E I P T S				AVERAGE RECEIPTS		AVERAGE TIME (HRS) COMP/UNIT		COMPLETION TIME (IN HRS)		PROJECTED WORKHOURS BASED ON AVE RECEIPTS X AVE	
		1981	1982	1983	1984							SR	MR
FILE CREATIONS	ER	193,985	226,342	181,179	223,596	206,276	0.062	12,789					
	SR	217,153	167,603	160,152	161,825	176,686	0.061	10,778					
	NR	113,703	124,663	102,296	95,602	109,066	0.065	7,089					
	WR	271,535	219,361	288,538	163,207	235,660	0.046	10,840					
	TOT	786,386	737,949	732,165	644,230	727,688	0.056	40,751	11,551	9,894	6,108	13,197	
FILES TRANSFERRED	ER	104,643	163,116	131,107	106,020	126,222	0.074	9,340					
	SR	71,537	69,946	89,132	96,530	81,786	0.065	5,316					
	NR	57,718	70,370	105,197	94,020	81,826	0.065	5,319					
	WR	108,782	91,787	97,482	72,991	92,761	0.042	3,856					
	TOT	342,680	395,219	422,918	369,561	382,595	0.062	23,721	7,826	5,071	5,073	5,751	
SOLUTIONS	ER	32,945	29,876	26,943	34,344	31,027	0.194	6,019					
	SR	19,079	20,119	17,788	10,833	16,955	0.114	1,933					
	NR	17,948	15,846	19,108	20,868	18,443	0.099	1,826					
	WR	18,092	15,285	22,087	15,117	17,645	0.089	1,570					
	TOT	88,064	81,126	85,926	81,162	84,070	0.132	11,097	4,096	2,238	2,434	2,329	
REQUESTS	ER	143,474	86,309	73,455	68,484	92,931	0.069	6,412					
	SR	36,638	32,532	44,406	57,711	42,822	0.061	2,612					
	NR	24,144	31,006	46,878	42,231	36,064	0.094	3,029					
	WR	91,425	95,194	141,036	101,595	107,313	0.060	6,439					
	TOT	295,681	245,041	305,773	270,021	279,129	0.064	17,864	5,948	2,741	2,308	6,868	
SERVICE OFCS REQ	ER	89,624	92,380	98,456	104,529	96,247	0.061	5,871					
	SR	94,882	76,759	102,275	120,280	98,549	0.066	6,504					
	NR	39,050	69,542	109,978	82,724	75,324	0.070	5,273					
	WR	106,689	90,244	173,542	123,911	123,597	0.045	5,562					
	TOT	330,245	328,925	484,251	431,444	393,716	0.059	23,229	5,679	5,814	4,444	7,292	
LION MATERIALS	ER				304,176	304,176	0.031	9,429					
	SR				224,079	224,079	0.035	7,843					
	NR				303,231	303,231	0.037	11,220					
	WR				246,538	246,538	0.037	9,122					
	TOT	0	0	0	1,078,024	1,078,024	0.035	37,731	10,646	7,843	10,613	8,629	

(IN ACTUAL WORKLOAD UNITS)

DATE PREPARED: 21-Jan-85

ACTIVITY DESCRIPTION	REGION	R E C E I P T S					AVERAGE RECEIPTS	AVERAGE TIME (HRS) COMP/UNIT	COMPLETION TIME (IN HRS)	PROJECTED WORKHOURS BASED ON AVE RECEIPTS X AVE			
		1981	1982	1983	1984	1985				ER	SR	NR	
ARCHES GENERAL													
ER		668,164	776,104	930,993	999,285		843,637	0.029	24,465				
SR		310,640	279,753	288,257	676,616		388,817	0.031	12,053				
NR		454,286	512,915	775,309	851,379		648,472	0.020	12,969				
NR		633,226	521,460	608,255	608,896		592,959	0.022	13,045				
TOT		2,064,316	2,090,232	2,602,814	3,136,176		2,473,885	0.025	61,847	21,091	9,720	16,212	
QUIRIES BY PHONE													
ER		1,443,769	1,284,201	1,303,531	836,487		1,216,997	0.054	65,718				
SR		902,521	918,324	1,044,322	1,050,758		978,981	0.045	44,054				
NR		955,258	948,046	884,809	1,009,104		949,304	0.054	51,262				
NR		837,037	802,731	904,357	1,028,431		893,139	0.053	47,336				
TOT		4,138,585	3,953,302	4,137,019	3,924,780		4,038,422	0.051	205,959	62,067	49,928	48,415	
QUIRIES IN PERSON													
ER		1,203,560	1,178,191	1,325,907	1,359,095		1,266,688	0.064	81,068				
SR		1,355,790	1,255,248	1,290,463	1,346,597		1,312,025	0.034	44,609				
NR		694,470	765,162	680,185	627,069		691,722	0.058	40,120				
NR		1,498,819	1,474,005	1,352,310	1,328,518		1,413,413	0.049	69,257				
TOT		4,752,639	4,672,606	4,648,865	4,661,279		4,683,847	0.050	234,192	63,334	65,601	34,586	
RESPONDENCE													
ER		173,464	135,491	147,414	135,919		148,072	0.186	27,541				
SR		119,481	101,485	122,946	122,042		116,489	0.085	9,902				
NR		120,213	113,061	118,389	142,743		123,602	0.092	11,371				
NR		133,944	147,483	146,994	138,989		141,653	0.102	14,469				
TOT		547,102	497,520	535,743	539,693		530,015	0.120	63,602	17,769	13,979	14,832	
IA/PA ACTIVITY													
ER		7,338	8,275	11,470	9,980		9,266	3.243	30,049				
SR		5,330	5,173	7,106	7,522		6,283	1.436	9,022				
NR		7,328	6,140	6,903	6,466		6,709	0.785	5,267				
NR		5,550	5,752	5,838	5,584		5,681	2.267	12,879				
TOT		25,546	25,340	31,317	29,552		27,939	1.997	55,794	18,504	12,547	13,398	
TOT		25,546	25,340	31,317	29,552		27,939	1.997	55,794	18,504	12,547	13,398	
TOTAL													
		14,824						14,824					
		45,550						45,550					
		70,671						70,671					
		17,022						17,022					
		11,345						11,345					

TOTAL PROJECTED WORKHOURS BASED ON AVERAGE RECEIPTS BY REGION

195,374 228,510 205,478 158,424

205,478

(IN ACTUAL WORKLOAD UNITS)

DATE PREPARED: 21-Jan-85

ACTIVITY DESCRIPTION	REGION	R E C E I P T S				AVERAGE RECEIPTS	AVERAGE TIME (HRS)	COMPLETION TIME (IN HRS)	ER	SR	NR	MR
		1981	1982	1983	1984							

PROJECTED WORKHOURS BASED ON AVE RECEIPTS X AVE											
-------------------------------------------------	--	--	--	--	--	--	--	--	--	--	--

TOTAL PROJECTED WORKLOAD BASED ON AVERAGE RECEIPTS AND UNACCOUNTED FOR PRODUCTIVE HRS BY REGION

ER	297,062	240,989	205,951	264,522
----	---------	---------	---------	---------

ALTERNATIVE DISTRIBUTION OF RESOURCES BY REGION FOR FY 85

FY 85 ACTUAL DISTRIBUTION (10/84)											
-----------------------------------	--	--	--	--	--	--	--	--	--	--	--

REGION	PROJECTED WORKLOAD (IN HOURS)	WORKLOAD DISTR (1)	AUTH		FTEs		AUTH		FTEs	
			FORCE	PERM	OTHER	PERM	OTH	PERM	OTH	

ER	297,062	0.295	264	254	379	377	16
----	---------	-------	-----	-----	-----	-----	----

SR	240,989	0.239	214	206	166	158	13
----	---------	-------	-----	-----	-----	-----	----

NR	205,951	0.204	183	176	128	120	32
----	---------	-------	-----	-----	-----	-----	----

MR	264,522	0.262	235	227	222	209	17
----	---------	-------	-----	-----	-----	-----	----

TOT	1,008,523	1.000	895	864	78	895	864	78
-----	-----------	-------	-----	-----	----	-----	-----	----

Records and Information Program Highlights

RECORDS AND INFORMATION PROGRAM HIGHLIGHTS

URBAN ADJUSTMENT PROGRAM

ESTABLISHMENT OF MAIL AND CORRESPONDENCE MANAGEMENT PROGRAM

INSTALLED IVIS/IDIAL SYSTEM LA, NYC

PROJECT INFORM ACTIVITIES

IGER TEAM

JOINT ADJUDICATIONS/RECORDS SUPPORT PROGRAM

CENTRAL RECORDS CHECKS (STATES, OTHER FEDERAL AGENCIES)

**PARTICIPATION IN DEVELOPMENT OF AUTOMATED ADJUDICATION TRACKING
SYSTEM (ACS) AND FEE ACCOUNTING RECEIPTING SYSTEMS (FARE)**

EDIA/PA CASE TRACKING SYSTEM

**23 REFINEMENTS AND NEW AUTOMATED REGIONAL RESOURCES ALLOCATION
SYSTEM**

ACS DATA BASE REVIEW

RECORDS AND INFORMATION PROGRAM HIGHLIGHTS (CONTINUED)

TICIPATE IN CENTRAL INDEX SYSTEMS DEVELOPMENT (AUTOMATED FILE
TRANSFER SYSTEM)

WRITE OF AM 2700

ORDS REMOTING

ENTION OF ORIGINAL DOCUMENTS

EPHONE SERVICE CENTERS

A/PA CASEWORK BACKLOG REDUCTION PROGRAM

L SURVEYS

JECT SAVE

ALIZATION PROGRAM

QUISITION II HARDWARE PROCUREMENTS/DELIVERIES

SE PROGRAMS, PERSONAL FILES, AND SUBJECT IMPACT

**Records Systems Division
Division Branch Directors**

Mr. Duell discussed with the conference points raised in a draft of "An Outline of Proposed Planning and Operational Initiatives" for the Information Services Program (Exhibit A). He also discussed additional points with regard to the Contact Representative Program and the FOIA/PA Program. Briefly summarized:

- Establishment of Eastern and Western Telephone Service Centers.
- Expansion of IVIS and IDIAL to Los Angeles and New York district offices.
- Implementation of the FOIA/PA case tracking systems.
- Although the FOIA/PA backlog has been reduced by 29% during the past year, there still exist several hundred cases that are more than a year old. Receipts have been redefined to further efforts in this area.
- There has been a turnover of approximately 70 Contact Reps (one-quarter of the total) this year. The positive side to this high turnover is that it is an opportunity to facilitate change and to emphasize a "Public Service First" philosophy in the training of those new hires.
- The primary emphasis of INS is on enforcement and in providing quality information about benefits to which our alien clientele is legitimately entitled. The Information Service Program should be pursuing the successful integration of policy, technology, and people-oriented plans for improvements to our program. Technology has received the major focus during the last 2 years, but the Program is signaling a shift during FY 86 to a more balanced emphasis on people and technological improvements.



CO 1640-C

ect

Planning and Operational Initiatives; FY 86-88
Proposed Information Services Program

Date

JUL 12 1985

vin Klavan
Assistant Commissioner
Records Systems Division

From

James R. Duell
James R. Duell
Director
Information Services Branch

Attached is a "draft outline" which highlights planning and operational initiatives which have been developed as a guide for Information Services program personnel activities during the next several fiscal years. I believe these proposed initiatives which incorporate many of our present on-going activities in addition to focusing our efforts on "people issues", if implemented, will go a long way toward supporting the Commissioner's Priority of improving the image of the Service and fostering a "public service first" attitude among our Contact Representative work force.

I intend to mention a number of these initiatives in my talk at this year's Records & Information Conference. In addition, I plan to provide copies of the "draft outline" to the conference attendees and solicit their comments on any additional initiatives which they would like to propose during our workshop on FY 86 priorities.

I am, of course, available to discuss these and other initiatives which you personally would like to see incorporated into our efforts. I would hope not only you but also Mr. Murray and Ms. Meissner would have the opportunity to reflect on these proposed initiatives and to provide any advice on and/or direct support to our efforts.

Attachment

An Outline of Proposed
Planning and Operational Initiatives

Technological Efficiency Improvements Initiatives

Complete the contracting process to secure a long term (5 yr) maintenance and replacement contract for existing "ASK IMMIGRATION" Equipment Servicewide.

The concept of providing unattended, automated self-service information dissemination equipment in Service public information areas (IVIS & IDIAL in Miami, Los Angeles and New York) has proved a viable alternative method to providing individual, personalized assistance to general information inquiries by Contact Representative personnel. However, initial vendor equipment and physical design, though adequate for prototype testing, needs further refinement. Maintenance, reliability, workmanship and cost must be reconsidered before further expansion plans are finalized. During FY 86 contract specifications should be redefined, Service-wide needs assessed and cost estimates developed.

5. Telephone Service Center (TSC) personnel and equipment reconfigurations
 - use of more direct dial to AI Equipment
 - decrease in use of Tape Librarians thru further automation improvements
 - other equipment modifications
 - consistent with funds availability, open a third TSC in Texas to include Dallas, Houston, San Antonio, Harlingen and possibly El Paso and New Orleans District Office.
6. Expand use of unattended telephone systems in accordance with the results of the present equipment test being conducted in Charlotte N.C. and Portland, OR offices and funds availability.
7. Implement the automated fee accounting and receipt system (FARES) during FY 85/86, consistence with hardware distribution.

Personnel/Morale Initiatives

1. Issue revised Contact Representative Handbook during FY 86. Incorporate "public-service-first" philosophy in describing Contact Representative duties and responsibilities.

DRAFT

- Designate the Supervisory Contact Representative in charge C.O. Information Operations Unit, the highest graded Contact representative, as the "titular leader of the corps" of Contact representative Service-wide; and utilized "the Service's #1 Contact Representative" as a speaker at each Contact Representative program, as a member of the Records & Information Management Assistance and Inspection Team and at other ceremonial type activities throughout the Service.
- Research, announce and begin preparation for the approaching Anniversary Year of the Contact Representative program.
- Search and locate the 1st Contact Representative (or someone in the 1st group) for participation in the Anniversary Year.
- Research during FY 86 the feasibility of establishing a periodic closing field Information operations for 1 week annually and a 3 day in-house "Motivational Retreat" either regionally or nationally which would be designed to foster "public-service" attitudes.

4. Redesign the Contact Representative uniform during FY 86 and ready for use in FY 87 when uniform allotment is raised from \$1 \$425. Include special commemorative patches, limited rank bars, e
5. Establish uniform, Service-wide standards for selecting individual Contact Representative positions.
 - Improve the selection and screening process with emphasis on identifying and weeding out, through the interview process, those who are not suited for the demanding, stressful situations that Contact Representatives handle every day.
 - Incorporate pilot efforts of Eastern Region.
6. Establish and fund a base level training program which places emphasis not only on I&N Law training but also on a philosophy of "personnel service-first" and which includes Stress Management, Courtesy, and Cultural Awareness. Conduct annually:
 - 3 Basic CR Courses annually (3 wks)
 - 1 Senior CR Course (2 wks)
 - 1 Supervisor Course (1 wk)

representatives should actively review, during FY 86, training programs of private organizations and other government agencies which service multi-cultural, multi-ethnic clientele to determine if others are utilizing techniques which could be incorporated in INS training programs. Such organizations would include but would not necessarily be limited to commercial airlines (reservations agent and flight attendant programs), Disney World/Land, Internal Revenue Service, the National Park Service, etc.)

7. Given the level of training development and administration envisioned in item #6 above, investigate the feasibility of assigning a full time position to the Glymco Training Facility staff similar to that assigned by other operating programs. Position would be utilized as course developer, instructor and class coordinator. Target E.O.D. date January 1, 1986.

Courtesy Campaigns

Incorporate Central Office, Western and Southern region courtesy initiatives into a uniform Service-wide program to include:

- Buttons
- Posters
- Slogans

Other Efficiency Improvements in Service-to-the-Public

3. Establish a Service-wide contract for transcriptions of Forms line(s) tapes **and** dissemination of Forms directly to the requestors.
4. Pursue more effective monitorship of Public Reading Rooms by Central Office and Regional Office staffs.
5. Redesign, reprint and retitle Form G-641, "Application for Verification of Information From INS Records" to eliminate confusion regarding usage. Consider elimination of fee charge since information can now be obtained free if requestor is educated enough to file a FOIA request.
6. Using Information Services Program personnel, provide support to form design efforts fostered by the Examinations Program.
7. Incorporate more training emphasis (both locally and thru Glynco based courses) on document fraud detection.
8. Pursue a policy of answering the Information Section telephones as first priority for Information personnel; and pursue a policy of encouraging the public to communicate with the Service either telephonically or through the mails as their best choice for service rather

Work Measurement Initiatives

Implement during FY 86 the rewritten, Information Services Program specific section of the G-22/23 Work Measurement System.

Implement during FY 86 the rewritten, Freedom of Information/Privacy Program specific section of the G-22/23 Work Measurement System.

Both program sections reporting requirements have been designed to enhance the collection of key indicator workload measurements. Prior workload data was deficient and the data that was captured was interspersed with Records program workload data. At present it is virtually impossible to analyze segregated Information or FOIA/PA workload and draw any meaningful conclusions.

Through analysis of collected data beginning in FY 86 and continuing during the preceeding Fiscal years:

- Proceed with the development of productivity standards for Contact Representatives and FOIA/PA processing specialist.

Continue, subject of funds availability, the renovation of INS waiting rooms. Service-wide standards and color scheme established during the recent renovation efforts in Los Angeles and San Francisco District Offices waiting rooms. Continue joint effort with the Office of Administration to define waiting room standards and publish a construction guide.

Christian discussed the major achievements and future goals for this Branch. An organizational structure (Exhibit B) and a list of supervisors, contact persons, and file control offices (Exhibit C) were presented so that people will know who to contact for specific needs.

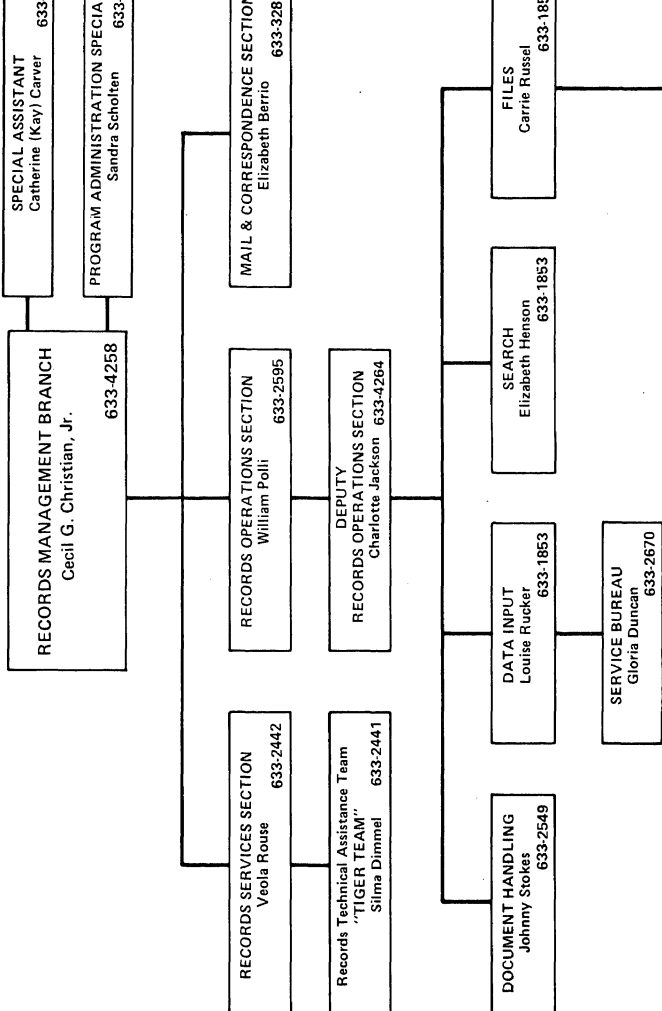
The major achievements include:

- The Mail Economy Program--resulting in a savings of \$699,600 during the last year;
- The Cuban Adjustment Program--supported by a full-time management analyst and two full-time employees key entering data;
- Project SAVE--producing a savings of several million dollars in California alone;
- The Student School System--sending mailers to schools and entering data;
- Adjudications--conducting the ACS/FARE survey in Chicago; and
- The TIGER Team--allocating resources to implement an approach that permits trouble-shooting throughout the entire service.

Future goals include:

- Revising the G-23 has top priority and Kay Carver is working full-time on this;
- Scheduling three to four visits per year to conduct field evaluations;
- Printing and distributing a Correspondence Manual by the end of the fiscal year;
- Developing, on a national level, priorities that will determine which Records functions should be done first;
- Continuing the work that has been initiated by a committee to develop a National Records Processing Center in conjunction with Project Inform;
- Restructuring and evaluating the current grade structures in response to the changes created by the most recent period of automation; and
- Identifying the exact scope of "Records" work.

RECORDS MANAGEMENT BRANCH



FILE CONTROL OFFICES

SOUTHERN REGIONAL OFFICE

(SRO)
(ATL) Atlanta, GA
(CLT) Charlotte, NC
(DAL) Dallas, TX
(ELP) El Paso, TX
(HGL) Houston, TX
(HOU) Houston, TX
(MEM) Memphis, TN
(MIA) Miami, FL
(NOL) New Orleans, LA
(SNA) San Antonio, TX

SUPERVISOR

Betty Strong
Loretta Guess
Judy Ferguson
Jo Ann Smith
Barbara Hughes
Neita Z. Ramos
Mary Martinez
James Carson
Annabel Erdos
Jose Gonzalez
Mary Abrell

TELEPHONE

FTS 729-6928
FTS 242-2771
FTS 672-6699
FTS 729-8898
FTS 572-7605
FTS 734-4541
FTS 526-6928
FTS 222-4057
FTS 350-4169
FTS 682-6534
FTS 730-6390

SOUTHERN REGIONAL OFFICE

(ERO)
(ALB) Albany, NY
(BAL) Baltimore, MD
(BOS) Boston, MA
(BUF) Buffalo, NY
(HAR) Hartford, CT
(NEW) New York, NY
(NOR) Norfolk, VA
(NYC) New York, NY
(PHI) Philadelphia, PA
(PIT) Pittsburgh, PA
(POM) Portland, ME
(PRO) Providence, RI
(SAJ) San Juan, PR
(STA) St Albans, VT
(WAS) Washington, DC

SUPERVISOR

John Bramblett
Alice Cacchillo
Lisa Falkenstein
Connie DaSilva
John P. Rugani
Linda Ianni
Addis Brooks
William Bittner
Claudius Dacon
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FTS 827-3095
FTS 264-5867
FTS 597-7337
FTS 722-3358
FTS 833-3352
FTS 838-4374
FTS 809-753-4021
FTS 832-5471
202 724-5753

RECORDS SUPERVISORS OR CONTACT PERSON

&

FILE CONTROL OFFICES

REGIONAL OFFICE

(WFO)
(AGA)
(HHW)
(LOS)
(LVG)
(PHO)
(REN)
(SFR)
(SND)

SUPERVISOR

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FTS 598-6257
FTS 261-6651
FTS 470-5427
FTS 556-1290
FTS 895-5885

REGIONAL OFFICE

(NRO)
(ANC)
(CHI)
(CIN)
(CLE)
(DEN)
(DET)
(HEL)
(KAN)
(INP)
(MIL)
(OWA)
(POO)
(SEA)
(SLC)
(SPM)
(SPO)
(STL)

SUPERVISOR

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G. L. Johnson
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Alice Johnson
Gertrude A. Bronson
Patricia Salazar
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Robert Walker
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Mary Alder
Mary Lou Hernandez
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FTS 942-4899
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FTS 226-3263
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FTS 331-7891
FTS 362-3560
FTS 864-4651
FTS 423-2277
FTS 399-5954
FTS 588-4539
FTS 725-7848
FTS 439-3824
FTS 279-4535

Victor Rodriguez

Rodriguez presented an organizational chart (Exhibit D) that defined the Quality Assurance Branch (QAB) within the Records Systems Division. It has two sections: Quality Assurance and Evaluation Section and the Technical Support Section (TSS). TSS provides site monitoring of data entry performed by contractors for INS at Riverdale, MD (IMDAC contract) and at London, KY (for the NIIS contract).

Quality Assurance Branch is specifically responsible for the following activities:
(Source: QAB Approved Mission Statement)

- Administers the Servicewide programs designed to ensure acceptability of contractors' performance consistent with specified standards and within acceptable quality levels as provided in the Statements of Work;
- Conducts visits to INS Ports of Entry, District Offices, and Contractors to ensure timely processing of immigrant and nonimmigrant documents;
- Responsible for planning, developing, coordinating, implementing, and evaluating policies, procedures, and practices of the INS field quality assurance organizations;
- Assists in preparing the Contract Statement of Work documents that describe the essential and technical requirements of the services to be provided, including the standards used to determine whether the requirements have been met;
- Participates in project management activities, including the contractors system development life-cycle processes to ensure that necessary and appropriate quality assurance performance indicators are designed;
- Provides administrative supervision and technical guidance to the INS field quality assurance supervisors and appropriate consultations with contractor management personnel;
- Performs evaluations of existing information systems to determine the validity of the data bases.

QAB presents the lifecycle of automated data systems. The Quality Assurance (QA) Branch may be asked to participate during any phase of a system's life cycle, be it in the planning phase, development phase, or operation phase. During the first phase, QA's primary role is usually to serve in a consultant capacity, reviewing various work products by contractors, such as General and Detail Design Documents, System Specifications, System Specifications, and Data Base Design Documents.

QAB illustrates the four INS systems, and the processes for each, that QAB is now

systems have three components: document collection, data entry, and data processing. With NIIS, IMDAC, and STSC, QA monitors all three components.

is the first system that QA looked at to conduct a data base review. Unlike the systems, processing is on-line and data entry is done by INS employees. We do not have QA monitoring at data entry, nor could this function be staffed at all offices of INS. Therefore, the review is based on strategies that entail looking at data that is on the data base. The performance of the system is not evaluated, but the contents of the data base are. The data is stratified, using different schemes, to help make statements about the utility of the data to the users.

at G details NIIS statistics to give some idea about the scope and magnitude of the activities. For this last May and June, our contractor processed over 1.3 and 1.4 million records into the system. The QA program ensures that this data meets the standards of accuracy in our contract. It is also necessary for the contractor to complete data entry in 10 days from date of receipt to delivery of data tapes to INS. Thus, three areas of processing are examined: accuracy, timeliness, and document completeness, to ensure that all data fields be completed on the document and keyed on the automated

Records System Division is proceeding with work on the Nonimmigrant Information System (NIIS) quality assurance enhancements. Progress in this area has resulted from the combined efforts of the Records Systems Division and the Data Systems Division, Information Systems, and from members of the Users Group.

NIIS enhancements are designed to overcome deficiencies in document collection and data processing in the system, with the overall intent of improving the accuracy, completeness and timeliness of the data base.

are underway that will provide greater control and better measures of performance in the areas of commercial carrier responsibility, INS document handling, contractor processing of forms I-94 and update documents. Tasks contributing to these studies are organized under four major initiatives as follow:

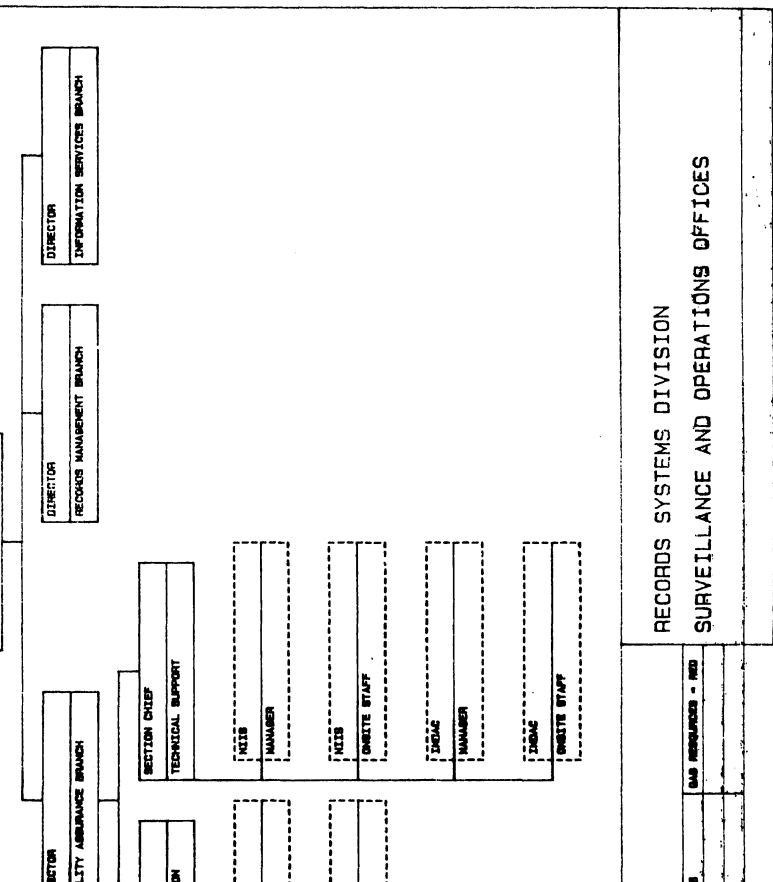
- Document Accountability and Control;
- System Management and Reporting;
- Data Accuracy and Document Completeness; and
- Data Timeliness.

Therefore, a number of tasks have been completed, including:

- Reports that have been submitted with recommendations in the areas of accountability for I-94 receipts, document loss, and lapse time for document processing;
- Proposals that have been made to revise a document collection manual;

- A draft of a quality assurance procedures manual.

The remaining tasks are scheduled for completion in September, 1985, when a full report will be forthcoming.



RECORDS SYSTEMS DIVISION
SURVEILLANCE AND OPERATIONS OFFICES

ORGANIZATION - RECORDS

INITIATION PHASE

SUBJECT
REQUEST
DOCUMENT

FEASIBILITY
STUDY
DOCUMENT

COST/BENEFIT
ANALYSIS
DOCUMENT

DEVELOPMENT PHASE				OP
DEFINITION STAGE	DESIGN STAGE	PROGRAMMING STAGE	TEST STAGE	
FUNCTIONAL REQUIREMENTS DOCUMENT	SYSTEM/ SUBSYSTEM SPECIFICATION	USERS MANUAL	TEST ANALYSIS REPORT	
	PROGRAM SPECIFICATION	OPERATIONS MANUAL		
	DATA BASE SPECIFICATION	PROGRAM MAINTENANCE MANUAL		
DATA REQUIREMENTS DOCUMENT	TEST PLAN			

GAB INTERFACE WITH INS INFORMATION SYSTEMS

**NIIS: (1) COLLECTION
(2) PROCESSING
(3) LOADING**

**WORK INSPECTION
PROGRAM ENHANCEMENTS**

**IMDAC: (1) COLLECTION
(2) PROCESSING ARC'S
(3) LOADING - MIS UPDATE
WORK INSPECTION**

**STSC: (1) COLLECTION
(2) PROCESSING
(3) LOADING**

**NACS: (1) COLLECTION NOT UNDER REVIEW
(2) PROCESSING ONLINE BY INS
(3) LOADING : LOCAL PROCESSING**

WORK INSPECTION

DATA BASE REVIEW

MAY	723,435	621,159	30,654	1,375,24
JUNE	744,020	650,064	30,244	1,424,32

QA WORK INSPECTION ONSITE

- MONITOR CONTRACTOR
QUALITY CONTROL - ACCURACY STANDARDS
- DATA TAPE DELIVERY IN 10 DAYS

PROGRAM ENHANCEMENTS IN PROGRESS

- DOCUMENT ACCOUNTABILITY AND CONTROL
- SYSTEM MANAGEMENT AND REPORTING
- DATA ACCURACY AND DOCUMENT COMPLETENESS
- DATA TIMELINESS

Adjunctive Adjudication Verbatim Text

I have to thank Irv for that introduction and tell you I really am enormously pleased to be here. I've only been with the Service 3 years. I feel as though I'm only just beginning to understand things. One thing that is becoming increasingly clear to me is that the Service tends to function in units, which see only their part of the mission and don't see how much they depend on other units. There tends to grow up a blaming and finger-pointing situation, which isn't terribly productive. I've come to see, since I've been in this job, how completely dependent we are on Records in carrying out our mission. What we do as our mission is to assure that the benefits get to the people who are entitled to them, as promptly as possible, in a courteous fashion, and that the ones who are not entitled to the benefits are denied those benefits. That's an easy thing to say, but it is obviously a task that we can't do without Records giving us the institutional records of what we know about these people, and without Contact Reps helping the public understand what our requirements are and so forth. We recently, as you all know, instituted the Balance Adjudication Program in an effort to do our work more efficiently and to get our decisions made more promptly. This system requires a great deal of work on the part of Records people to help us meet our goal of getting the remotable work to the remote stations no longer than 10 days after we receive it, and getting the work turned around from RACS within 30 days. So, in sum, the message I want to give is that we need Records support and we need to support Records.

That's what we've focused our attention on this year. Irv and I have worked together on two major efforts--team efforts to try to solve our problems instead of constantly complaining about them. The first effort that we've been engaged in resulted in a conference, that some of you attended, to discuss our proposed tests of direct mail to RACS. As you know, we do have in mind a plan to test this at the Eastern Region. We will test it with FARES equipment which we'll be speaking about in a minute. If the test is successful, we would anticipate going to direct mail Servicewide for certain types of applications, the applications, probably, that are remotable in the first place. We held a conference to discuss the test and make sure that Records was involved in the planning for the test, because if we do go to direct mail, Records is also going to be involved at RACS more heavily than Records is currently involved now. We also have a problem with the 10 and 30 day turnaround times. We are not meeting these turnaround times now or are RACS. The purpose of the conference was to discuss why we're not meeting those turnaround times. The result of the conference was that we came up with projects that we need to engage in to see whether we can move files faster and so forth. I would say one result of the conference was that it became very apparent to me that there's a great deal that Adjudications has to do to help Records do its job. We have to look at whether or not there are instances where we can do without the files so that you don't have to get that file for us and you can concentrate on the files that we absolutely have to have.

The second important team effort that we've been involved in is the Survey Team on ACS and FARES. We know from our experience with NCCSS and the new NACS System that automated data processing is going to help us do our job better and it's

FARES is going to do a few simple but important things. It's going to provide for automated fee receiving. I think you know better than I what benefits that's going to have for the Records operation. Automated generation of G-23 receipts statistics: now this is extremely important to us because we have gone to a great deal of effort to reallocate our workload on the basis of receipts, and though we got down a fairly good way of doing that, there are lingering concerns as to whether our offices really give accurate counts of their receipts. We've always felt that the only way we'll ever know that is when we have automated fee receiving. This part of FARES is quite important to us. It's the backbone and the balance of the Adjudications System. The receipts will have a case I.D. number. This will ultimately enable us to give better status inquiry information, as systems come on line and we're better able to track our work through a system. The case number will give a contact record of whoever is answering the inquiry, giving them a way to get into the system quickly. So, this is basically what FARES does. FARES will also be capturing basic case data: the applicant, his address, and so forth, for purposes of the receipt. Since much of this information will be later needed in ACS, FARES is going to be capturing initial case data for us in ACS. Those are the aspects of FARES that we're interested in. ACS is going to do case tracking and ultimately we'll be able to do better status inquiry because we'll have a better way of knowing where a case is in our system. It's going to automatically generate some forms and notices that are currently being typed by hand. It's going to provide automated or automatic scheduling of interviews. Those of you who are in NCCSS or NACS sites know what this means. In NACS particularly, this scheduling feature of ACS is extremely good. This is the kind of feature that will ultimately enable us to serve the public better by automatically scheduling people and getting them used to receiving an appointment promptly from us, but also certain offices could facilitate telephone rescheduling. The people could change their appointments without having to come into the office. Keeping people out of district offices unless they really need to be there is one major part of what the Service is trying to do.

ACS is going to have access to other systems like DACS so that checks can be made as to where we have records on a person, whether we need to hold up action or handle a case in a special way. Ultimately, it is supposed to have sufficient case history stored so that we can reduce our reliance on hard copy file. We can look up the basic facts in the system and determine from those facts that we do not need a file, whereas now we ask for the file. It should be pretty obvious that there is a whole lot of mutual interest in these two systems and we got together while we were planning the systems. We have Records people on the ACS User's Committee and they are there specifically to alert us to Records needs and give us input. While we were discussing these systems, we began thinking about how we would like to see it worked out. We're not trying to automate things just the way they are, but we're trying to come up with the best possible process for handling our work. We're trying to take advantage of some of the things that automation allows us to do that we couldn't do before. Irv and I and my staff and his staff have gotten together and had a number of discussions about what we'd like to see.

One concept which we all agreed would ideally be terrific was that all applications that came in would be reviewed for completeness and eligibility, the same way many Contact Reps do it now. If the application lacked a document or the person was basically ineligible, we would reject it with an explanation and tell the person what the required

material that came in at a later date with a file that could be here or there. We'd prevent the premature grant of priority dates. We'd have consistent treatment of the mailed-in applications and the applications that come in in person, many of which are treated that way. It was our basic intention that in the mailroom, people who are taking the mailed-in applications will treat them the same way a well trained Contact Rep treats them at the counter and rejects them without taking the fee.

The second concept we had was that when the application goes to the officer for adjudication it would be ideally best if all aspects of clerical work on that had been done, so that the officer's time would be limited to those things for which we pay people lots of money and train them to be officers; and officers would not be doing clerical work.

The third thing we talked about was the aspect of direct mail. If that goes through, obviously our system is being designed so that it will support RAC operations. In fact, I should mention that the very first site we're going to go into is Chicago. When we go into Chicago, we will be going into the whole complex: the RAC to which Chicago remotes, the Chicago airport through which Chicago remotes, and one of the land order ports to which Chicago remotes. That way we could see our system in action in all places where our work might find itself.

A final thing that we realized was that many functions that are currently being done will be eliminated, not eliminated in the sense that they won't be done but eliminated in a sense that they're now done manually and will be done by machine automatically in the future. On the other hand, there will be some new functions that we don't do now that we'll have to do. In discussing these things, we realized that we didn't have the answers to these questions. We really needed to look at the actual sites that these systems were going to go into and see whether it was practical to strive for the goals that we set in terms of the handling of applications. I guess this used to be called up-front processing before I arrived on the scene. I guess we used to do that, and it's kind of a concept like that. We didn't know, for instance, whether offices were set up in a way that they'd have the space available to do a central processing unit. The decision of whether an application is complete involves quite a bit of skill. The existing mailroom staff is not skilled enough to perform that function. We needed to know what skill levels were needed and how many skill levels were needed. We needed to know what other options for efficient processing there may be that we hadn't thought about. We needed to know what kinds of problems we would bump into when we moved into the realm of an actual office. We decided that we should have a survey team to go out and visit the offices that were most likely to receive this system first, mainly, the key cities' offices and their RACS. We needed to take a look at the actual processing there and see whether it appeared that our vision was doable.

We formed a team with the Adjudications people, Records Management people, Information Services, Information Systems, and Planning and Evaluation. We needed to know how we could reject the applications in the way that I've mentioned without getting afoul of the department, and so that we deposited the money in the treasury promptly. We tried to have all the interested parties represented on this group. In addition, once we'd gone to a particular site like Chicago, we had local people involved and regional people involved at that site. We chose Ruth Ann Meyer as the chairman

be sure that district concerns were properly represented. We made a very strong decision. Irv and I made a very clear decision that we were going to send this survey team out to report, for instance, on the grade and skill levels without making any determinations as to where in the organization structure these people should fall. We didn't want to get into arguments about whether or not this person should be a Records person or an Adjudications person. We wanted to talk in terms of functions and skills and the number of people needed, and those other things can be decided later in an objective way. This team has now made its first visits to Chicago, O'Hare and the Lincoln RAC. They have provided a first draft of their report but it's not yet to the point where we would be able to draw any conclusions from it. We need to do a little bit more work. It's turning out to be quite a job to do this kind of analysis.

There were some surprises that we found. I always find that there's a great deal of anecdote in the service. People will tell you it's this way or that way, they can do it or they can't, these are the proportions of this: but when you actually go and measure it, you frequently find it's a lot different than people's gut reaction was. One of the things we found when we went to Chicago was that we had anticipated that the mail-in to "in person" filing ratio might be about 50-50. We actually found out that there was a much higher proportion of "in person" filing than mail-in filings, which tells us something about where you'd need to put people to do this up-front rejection work, unless you can somehow persuade the public to mail more frequently than they do now, which is an objective we all share. But we were surprised by that.

In summary, I think that my main message has been to reiterate what Irv said. I'm not a person that likes to just complain about things and not set about tackling them. We've had a very cooperative partnership this year. I feel that I personally am beginning to understand Records problems in a much more detailed way, and beginning to see our own part in creating those problems. I'm hopeful that through our joint efforts we'll be able to help you help us better. Thank you.

Lloyd Sutherland

Three years ago, during a meeting held at Glynco, the Balanced Adjudication System was introduced with the Regional Adjudication Centers (RACS) being a keystone part of that. Some comments about RACS:

- There has been widespread support for the concept, and fears that it would take away authority from the District Directors have dissipated.
- Regulations have been drafted to give managers of RACS signature authority so that they will no longer need a dozen or so stamps.
- Initial projections (3 years ago) showed that 162 people would be needed in the RACS. However, there are now 153 (see exhibit A*). If temporary positions were added in, the total would be very close to the original estimate.
- Initial projections (3 years ago) for completions estimated the figure at 503,000. For FY'85, it looks like the figure will be around 530,000.

Common Concerns and Action Items for the Future

- 10-day turnaround--when does the clock start ticking?
 - Applications need to be stamped in immediately upon arrival
 - A-files need to be created in the District Office and not at the RAC
 - If an A-file does not exist, it is suggested that a MIRAC printout be attached
- Remoting should go directly from District Mail Rooms;
- More data is needed before making personnel adjustments;
- There are space problems at all RACS and the impact of the new regional alignment is not certain.

Approximately 14% of the workload is being performed at the Ports of Entry. This is viewed as a "free good," since it is work that the RAC would have to do otherwise. If there is a problem with a specific RAC not returning files quickly enough, the Regional Office should be contacted.

REGIONAL ADJUDICATION CENTERS
COMPARISON - PERSONNEL AND COMPLETIONS
FY 83 TO FY 85

<u>Location</u>	<u>Personnel</u>	<u>Completions</u>		
		<u>FY 83</u>	<u>FY 84</u>	<u>FY 85 (</u>
St Albans, VT	43	77,680	103,960	159,00
Dallas, TX	36	33,033	42,851	86,00
Lincoln, NB	32	31,880	78,862	112,00
San Ysidro, CA	<u>42</u>	<u>58,604</u>	<u>89,296</u>	<u>173,00</u>
TOTALS	153	201,197	314,969	530,00

(a) Actual totals through April 1985 - Annualized through September 1985.

Facilitators: Catherine (Kay) Carver and Tedd Spears

Reporter: Maxine Boren

This workshop session focused on the Records pages of the redesigned Productivity Measurement Reporting System, the G-22/G-23 forms.

Kay Carver explained why the G-23 was redesigned. A better designed form should help INS' staff to accurately record work performed under the proper line items. Such a form will also help determine what the major workload is at any given time. This information will be useful for resource allocation, budgeting, and future national productivity standards. And finally, the forms needed to be more manageable.

Last year, a study of the G-23 statistics showed that the most important work items were being charged only 25% of the work hours.

The new forms make up a neater package. Items considered insignificant have been removed, so that the list was streamlined into the most significant tasks. At this time, there will be a freeze on any more changes for one year, while research on INS' workload distribution is conducted.

Tedd Spears, Management Analyst of Records' Central Office, has been working for the last year with productivity statistics from the G-23's. Mr. Spears used those statistics to develop the fourteen graphs on the following pages. These graphs focus on activity, workflow, hours, and productivity. The new automated system will be able to produce such analyses on a quarterly basis. These graphs will be published by INS at a later date.

Kay Carver reviewed the directions and definitions for the new G-23's, and answered questions on particular line items:

700.1 A-Files Created

Question: Who is to report A-File creation time in those cases when an office other than Records does the G-361 and sends it to Records?

Answer: Records creates and verifies; therefore, Records reports the A-File creation. Remember, a file has not been created until it is in the MIRAC system and verified.

Additional clarification will be added to line 700.1 to read: A-Files Created/Verified.

Cecil Christian, of Records Management Branch, reminded everyone that it is mandatory to check every file you handle to make sure it is in MIRAC. If it is not, enter it into MIRAC. Count that as a new creation even if the file was old.

Question: What if creating these files presents a time problem, such as holding up the

create it then. Besides, if we want files accountability, we have to do this. Otherwise, we're messing up our system. If people are sending you files which have not been created, they owe you an explanation.

700.2 Files Transferred

As soon as we get the Central Index, all files will be transferred on a permanent basis. We're not going to refer to anything as "on loan" The only exception will be C.O. files.

Since every office, even ports of entry, will have an alphabetical code, the forwarding of a file will always be a transfer.

Remember, never transfer "Temporary" files.

700.3 Files Consolidation Requests

This line item title will be changed to read "Files Consolidation."

CO-44's must be counted as pending if consolidation has not been completed.

Do not count it as a file consolidation when material is taken from a temp file and placed in a regular A-File. That time is reported under 700.7 (b) Files operation.

Irvin Klavin informed the group, "I hope that next year, we can tell you to take those CO-44's and throw them in the trash can."

700.4 Files Requested From the Federal Records Center

Again, all files received from FRC will be checked in MIRAC. If they are not in MIRAC, they will be created and verified. This time will be reported under 700.1 (e).

700.7 Productive Hours

(c) Up Front Processing

This is performed by Information clerks and certain Records clerks.

(d) Special Reports

These are more non-recurring projects, just as before. Overtime is not reported here, but under the particular task.

(f) Administration of Records

The following items should be reported here:

1. Preparation of Records G-22 and G-23.

2. Reporting time T&A's - Records Only.

three categories.

(g) Other Reportable Items

This includes N-Files.

Time only will be reported here.

At this time, those offices doing bar coding will report time under 700.7(g).

Fees and related matters will be reported under 700.7(g) per outstanding instruction.

Remember, a records task performed by a Records person is reported on a Records Reporting Sheet.

Tasks performed by other sections, ports, or RAC's, will be reported on your analysis. Additional clarification will be forthcoming.

Other questions and comments:

Your analysis sheet will give reasons why you may have taken a long time doing files, such as the system being down. Anything not recorded on the Records Sheets can be recorded on the Analysis Sheets.

Question: Where do we record breaks and lunch in the system?

Answer: There is no place in the system for lunch or breaks; they should not be recorded.

Searching three indexes at one time should be counted as three searches, not one.

Cecil Christian reminds everyone to keep their printers on, even if it means keeping them on overnight. If you ever fail to receive what you have requested, please let Central Office know.

A1 A-FILE CREATIONS --- COMPLETIONS/RECEIPTS

SERVICEWIDE 1984

RECEIPTS
COMPLETIONS





A2 A-FILE CREATIONS --- COMPLETIONS
SERVICEWIDE

RECEIPTS
RECEIPTS & PEN



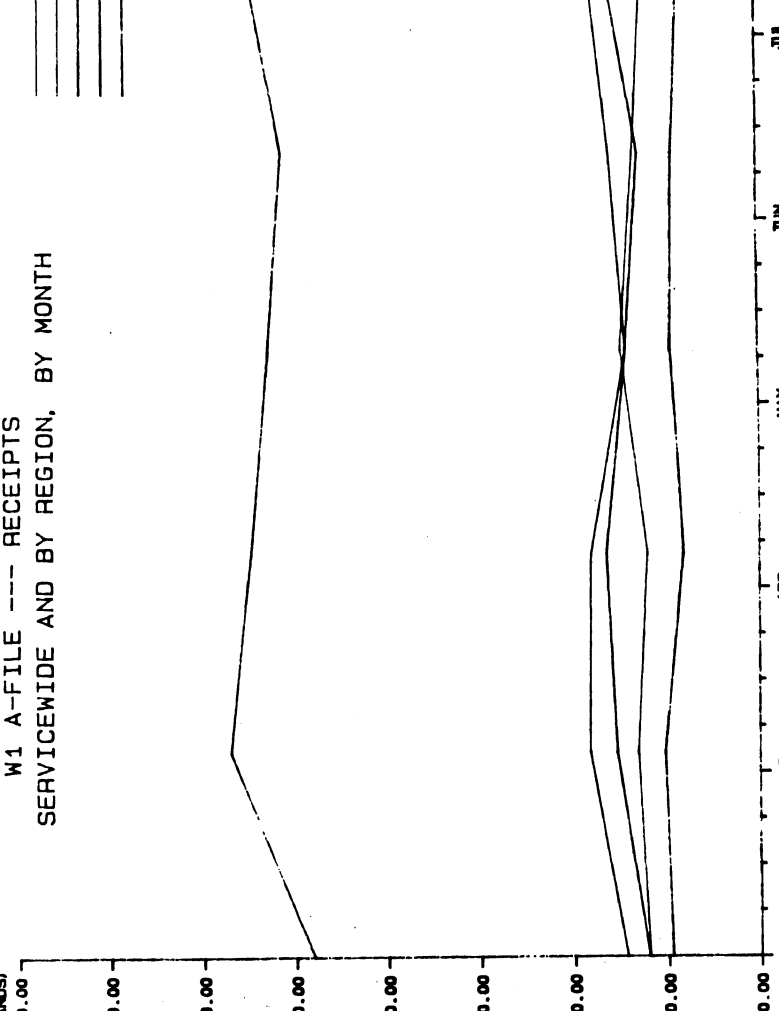
APR

MAY

JUN

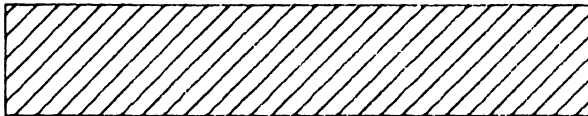
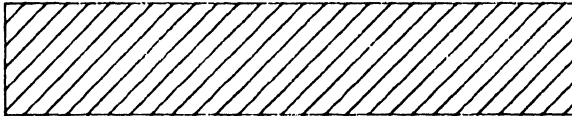
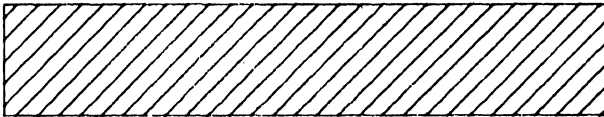
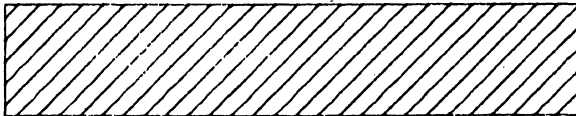
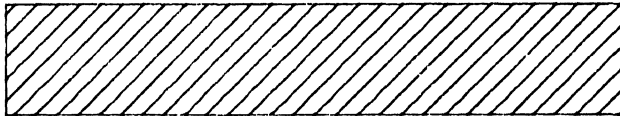
JUL

W1 A-FILE --- RECEIPTS
SERVICEWIDE AND BY REGION, BY MONTH







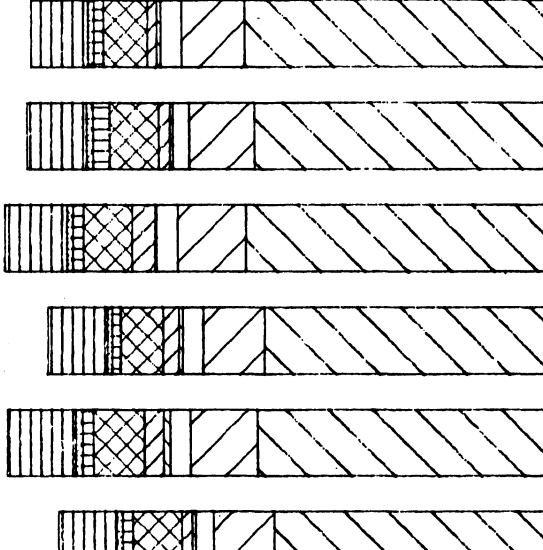
W2 A-FILES --- PENDING END OF PERIOD

SERVICEWIDE



H1 DISTRIBUTION OF PRODUCTIVE HOURS SERVICEWIDE

	717.A - Reported Items
	717.B - Files Operation
	717.C - Up Front Process
	717.D - Special Projects
	717.E - Training
	717.F - Administration
	717.G - F.O.I. Act Request
	717.H - Privacy Act Request
	717.I - Other Reportable



R2 UTILIZATION OF TOTAL HOURS
SERVICEWIDE

718.1-TOTAL PRODUCTIVE HOURS
718.2-TOTAL NONPRODUCTIVE HOURS
718.3-GRAND TOTAL HOURS
718.4-NON-RAGI DETAILS



R4 DISTRIBUTION OF HOURS SERVICE

700E- A-FILES CREATED

702E-FILES TRANSFERRED

704E-FILES CONSOLIDATION REQUESTS

705E-FILES REQUESTED - (FACs)

705J-FILES REQUESTED - (OSOs)

707E-ACTION MATERIAL

70BE-SEARCHES GENERAL

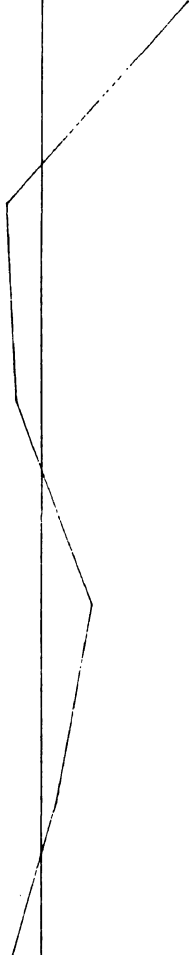
7138-INFORMATION INQUIRIES - BY TELEP

713D-INFORMATION INQUIRIES - IN PERSON

714E-CORRESPONDENCE

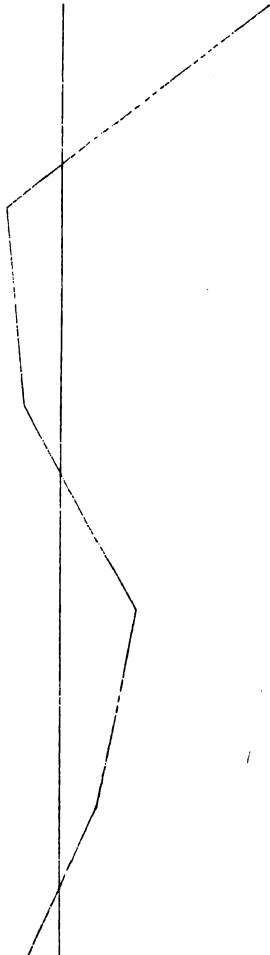
P1 PERFORMANCE TO AVERAGE UNITS PER HOUR - BASED ON COMPLETE
A-FILE CREATIONS - SERVICEWIDE

_____ 17.88 SERVICEWIDE HISTORICAL
_____ UNITS PER HR



P3 UNITS OF COMPLETIONS COMPARED TO AVERAGE
A--FILE CREATIONS - SERVICEWIDE

— 100 PERCENT LINE
— SERVICEWIDE AVERAGE



MAR

APR

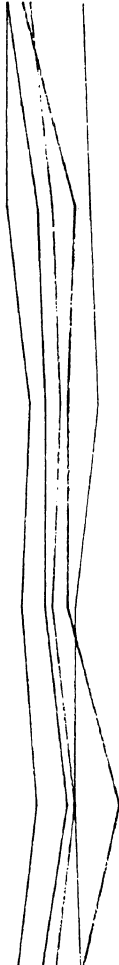
MAY

JUN

JUL

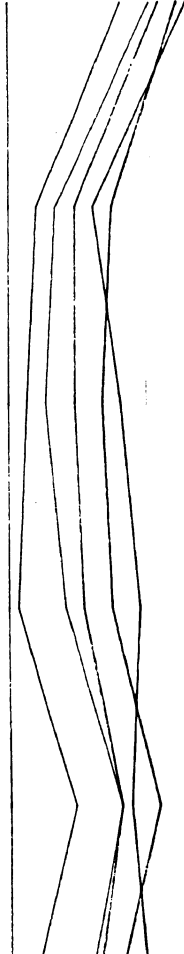
P4 PRODUCTIVE HOURS ON MEASURABLE WORKLOADS
COMPARED TO TOTAL PRODUCTIVE HOURS - SERVICEWIDE

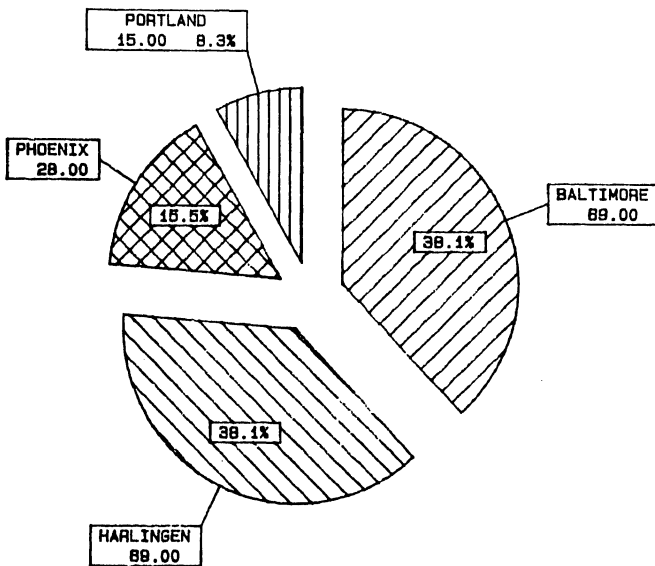
_____	REGION 1
_____	REGION 2
_____	REGION 3
_____	REGION 4
_____	100 PERCENT LINE
_____	SERVICEWIDE



P5 PRODUCTIVE HOURS COMPARED TO GRAND TOTAL HOURS SERVICEWIDE

REGION 1
REGION 2
REGION 3
REGION 4
100 PERCENT LINE
SERVICEWIDE





TOTAL RECEIPTS: 3,418

TOTAL COMPLETIONS: 2,870

PREPARED BY: STANDARDS & EVALUATION SECTION, QAB

DECEMBER 18, 1984

Facilitators: Ed Lyle and Sheldon Lehner

Reporter: Susan Verdoliva

Since the Business Support Systems Branch put workload information on-line, making recent performance measurement data available as it is received, there has been much interest in refining the forms used for recording workload (i.e., the G-22 used by non-ASK Immigration sites and the G-811 used by ASK Immigration sites, and Telephone Service Centers). A revised version of the G-22/G-23 will be effective October 1, 1985, to be used by all sites and including separate formats for the Records, Information, and FOIA/PA Programs. During this INS Records and Information Conference, INS personnel reviewed the new G-22/G-23, and the following issues were discussed in the workshop on workload reporting in the Information Services area.

707.1 TELEPHONE INQUIRIES

This section of the new form merely merges the forms used by different sites; no other changes are proposed. In general, this section will capture calls dealing with general information (e.g., not callers asking for personnel, OIC, etc.) All information personnel within an office should be included; sub-offices should not direct the G-22/G-23 directly to Washington.

Q: Should calls forwarded to an answering service be recorded as abandoned?

A: If there is an easy way to capture the statistic, record such calls as after hours. (707.1 c,g,k) rather than as abandoned. An abandoned call occurs when no one is at the other end when you pick up with Automatic Call Sequencing (ACS) Equipment. This might mean the caller became tired of waiting, or that he got the information he was calling for from the taped message.

Q: At an ASK Immigration site, when a Contact Representative fills in for an absent Tape Librarian at the console, should this be recorded as a primary or as a secondary call? When the contact rep can answer a caller's question quickly and easily in this circumstance, should he?

A: Because the Contact Rep is "wearing the hat" of a Tape Librarian, it should be recorded as a primary call. A secondary call will be recorded if and when that caller is transferred for further information from the Contact Rep. The Contact Rep should not attempt to answer questions on primary calls, but should play the appropriate tape as a tape librarian; the console should not be used as a switchboard, particularly when the volume of calls is high.

ISSUE: Too often the Contact Rep has to play the role of Tape Librarian, and is then his/her own backup person taking secondary calls. In the Southern region, Tape Librarians are temporary and part-time, so turnover is high. Yet, the system is predicated and depends upon the two positions Tape Librarian and Contact

through the ASK Immigration system. How should these calls be recorded?

A: Record such calls on the non-ASK Immigration section of the form.

Q: When a Contact Rep cannot fully answer a caller's query, and refers the caller elsewhere, is this to be recorded as a completed call?

A: Yes.

Q: What about the times the ACS goes down?

A: Footnote the days it was down at 707.1 b,f,j.

NOTE: Workshop participants were informed that the Form G-811 will be obsolete as of 10/1/85; instead, a new form will be used capturing only information on which taped messages were played.

707.2 INQUIRIES IN PERSON

Applications which are reviewed but not accepted will be recorded as information inquiries.

707.3 APPLICATION PROCESSING

This section has been newly created as part of an effort to separate general information inquiry workload and application processing. Under current policy, Contact Representatives are not supposed to do up-front adjudication. When a contact rep simply accepts a fee and forwards an application to TCB, it should be recorded as a completed application processing (707.3). When an application is not accepted, and the Contact Rep explains to the individual the reasons for non-acceptance and tells him to refile, it will be recorded as an inquiry (707.2) rather than as application processing.

707.4 CORRESPONDENCE

Requests for forms in writing will be considered correspondence. The Form G-641 is being revised to help distinguish between FOIA and other requests. Form G-641 will go to Information, and Form G-639 will go to FOIA.

When a Contact Rep puts information packets together in advance, the completed workload should be divided between Inquiries (707.2) and Correspondence (707.4), because the packets are used in both of these functions. Estimate the proportion of packets which are used in Correspondence and those used in Inquiries in person, and record workload and hours, accordingly. In general, when a Contact Rep does clerical-type work as part of his/her duties, it should be counted as Contact Rep time.

707.5 PRODUCTIVE HOURS

If a Contact Rep does G-639 work, it will be recorded as Administrative Information.

Non-ASK IMMIGRATION SITES**707.1(a) Primary Calls**

- (1) **Completed** - Enter the total number of calls received for the general office number(s) from the public. For offices currently with automatic call sequencing (ACS) equipment, indicate the number of calls received according to equipment instructions to obtain such a reading. For offices without automated equipment, the staff member(s) handling general telephone calls should keep a manual count. A phone call counts as one call regardless of the number of questions asked by the caller. Indicate a total figure for the month.
- (2) **Productive Hours** - Count the number of hours in which information personnel have been answering telephone inquiries from the public. Indicate a total figure for the month.

707.1(b,f,j) Abandoned Calls - Sites with ACS equipment should take a daily reading at the close of the business day and indicate a total figure for the month. If your office does not have ACS equipment, disregard this item.

707.1(c,g,k) After Office Hour Calls Received - After-hour calls received will be identified by setting the "calls received" counter indicator to "0" at the close of the business day. The number indicated on the counter immediately prior to setting the counter to "0" again to start the next business day will be identified for this item. Indicate a total number for the month.

ASK IMMIGRATION (AI) Sites**707.1(d) Primary Calls**

- (1) **Completed** - Indicate the total number of calls received on the AI tape library console(s) "Calls Received" counter at the end of each business day and indicate a total figure for the month.
- (2) **Productive Hours** - Productive hours are the number of hours actually spent at the AI console. If a contact representative sits at the AI console when the tape librarian is unavailable (sick, annual leave, etc.), the contact representative's productive hours are indicated in this column - not 707.1(e)(2). Indicate a total figure for the month.

707.1(e) Secondary Calls

- (1) **Completed** - All ASK IMMIGRATION (AI) offices having automatic call sequencing equipment should complete this line item. "Secondary" calls refer only to the callers who receive a "live" telephone response.

When a sequencer is not functioning, a manual count must be kept.

Indicate the number of calls received on the automatic call sequencer at the end of each work day and indicate a total figure for the month.

- (2) **Productive Hours** - Reporting offices should maintain a record of contact representative(s) hours spent providing for "live" secondary assistance to callers. Enter only hours spent providing "live" secondary telephone assistance.

Enter only the hours spent by personnel providing "live" responses to callers who have not been able to be satisfied by a subject tape, etc. Indicate a total for the month.

Do not count productive hours in this column for any time spent at the AI console by a contact representative. If a tape librarian is on vacation, sick leave or the position is vacant, the function of handling the AI console is regarded as a tape librarian function. Therefore, productive hours must be reported under 707.1(d)(2) regardless of who operated the console.

707.1(h-k) Telephone Service Centers - All of the instructions for ASK IMMIGRATION sites, as identified by item 707.1(d) and (e), apply to Telephone Service Center operations.

Telephone Productivity Totals**707.1(m) Primary Calls**

- (1) **Completed** - Enter the sum total of completions reported on lines 707.1(a)(1), 707.1(d)(1) and 707.1(h)(1).
- (2) **Productive Hours** - Enter the sum total of hours reported on lines 707.1(a)(2), 707.1(d)(2) and 707.1(h)(2).

707.1(n) Secondary Calls

- (1) **Completed** - Enter the sum total of completions reported on lines 707.1(e)(1) and 707.1(i)(1).
- (2) **Productive Hours** - Enter the sum total of hours reported on lines 707.1(e)(2) and 707.1(i)(2).

707.1(o) Total Telephone Productive Hours - Enter the sum total of hours reported

Immigration and Naturalization Service
Workload Records

Activity: RECORDS SYSTEMS

Operation: INFORMATION PROGRAM

DISTRICT NO: REPORTING OFFICE EMPLOYEE

D A X S	TELEPHONE PROD. TOTLS. 707.1	INQUIRIES IN PERSON 707.2		APPLICATION PROCS 707.3		CORRESPONDENCE 707.4					PRODUCTIVE HOURS 707.5							Total Info. Prod. Hrs. 707.6
		(p) Total Admin- After done Hours Calls	(q) Total Comp. Prod. Hrs.	(a) (b)	(a) (b)	(a) (b)	(a) (b)	(c) (d)	(c) (d)	(e) (f)	(a) (b)	(c) (d)	(e) (f)	(g) (h)				
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- 707.2(a) **Completed** - Enter the number of requests for information or forms received in-person even though the person may be referred to another district, sub-office, or operating unit. The number of requests shall be equal to the number of in-person inquiries, not the number of different subjects covered. Applications processed by Information personnel **BUT NOT ACCEPTED** should be included as an in-person inquiry. Include G-639 and G-641 requests received in-person under this item. Enter the total number of in-person inquiries for the month.
- 707.2(b) **Productive Hours** - Enter the number of productive hours spent in performing work described in 707.2(a). Indicate a total figure for the month.

707.3 Applications Processing

- 707.3(a) **Completed** - Enter the total number of applications or petitions processed **AND ACCEPTED** by contact representatives. Include only those applications submitted in-person for benefits afforded by immigration and nationality statutes. Do not include applications for information, e.g., G-639 or G-641. G-639 requests should be included in item 707.2 and 708.1(b). G-641 requests received in-person should be included under item 707.2

In offices where contact representatives are performing up-front adjudications, include those applications processed.

- 707.3(b) **Productive Hours** - Enter the number of productive hours spent in performing work described in 707.3(a). Indicate a total figure for the month.

707.4 Correspondence

- 707.4(a) **Pending Beginning of Period** - Enter the number of pieces of correspondence awaiting reply at the beginning of the period.
- 707.4(b) **Received** - Enter the number of letters, memoranda and G-641 requests requiring reply which are received in the Information Section. Completed verifications of arrival and departure requiring reply, whether they are received from the Verification Center or verified within the office, will also be counted as correspondence received. Indicate a total figure for the month.
- 707.4(c) **Completed** - Enter the number of replies by Information Section personnel, which disposed of the received correspondence. Indicate a total figure for the month.
- 707.4(d) **Pending End of Period** - Enter the number of pieces of correspondence awaiting reply at the end of the month.
- 707.4(e) **Productive Hours** - Enter the number of work-hours spent by Information Section personnel in performing work described in 707.4(c). Time spent on translating correspondence should also be included. Indicate a total figure for the month.

707.5 Productive Hours

- 707.5(a) **Reported Items 707.1 thru 707.4** - Enter the sum total of the productive hours reported on lines 707.1(o), 707.2(b), 707.3(b) and 707.4(e).
- 707.5(b) **Special Projects** - Enter the total hours spent on Central Office or Region directed Special Projects. Only report hours here when the directive ordering the Special Project includes instructions to report the hours under Special Project code 707.5(b).
- 707.5(c) **Training** - Enter the total hours of training courses attended or conducted during the month. Include all types of training, both formal and informal.
- 707.5(d) **Administration of Information** - Enter the total time spent in other Information program activities that is not included in any of the above categories. These include supervision of Information program staff; preparation of Information program reports; writing or reviewing Information program policy and procedures; providing technical advice; conducting management studies or surveys; reviewing security and maintenance compliance; Information program budgetary functions; and any other administrative activities that are in support of the Information program implementation.
- 707.5(e) **Transcription of Forms Line(s) Tapes** - Enter the total hours spent on the transcription of Forms Line(s) cassette tapes for the month.
- 707.5(f) **Fee Processing** - Enter the total hours spent on the acceptance, receipting and processing of fees for the month.
- 707.5(g) **Clerical Support** - Enter the total hours spent by clerical support personnel typing, photocopying documents and filing correspondence; performing data entry tasks; and other miscellaneous clerical activities. Do not include the time reported here in any of the other items.
- 707.6 **Total Information Productive Hours** - Enter the sum total of hours in 707.5(a-g).
- 707.7 **Total Information Non-Productive Hours** - Enter hours away from work on any type leave or absence without leave (AWOL). This includes sick, annual, military, jury duty, or leave without pay. Do not include

	FY:	FY:	FY:	OCT.	NOV.	DEC.	JAN.	FEB.	MAR.	Total Oct.-Mar.	APR.	MAY	JUN.	JUL.	AUG.	SEP.	Total Apr.-Sep.
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	FY:	FY:	FY:	OCT.	NOV.	DEC.	JAN.	FEB.	MAR.	Total Oct.-Mar.	APR.	MAY	JUN.	JUL.	AUG.	SEP.	Total Apr.-
OPERATIONS, CONT.																	
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Hours																	
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Reporter: Ken Pace

A Conference conducted last year, and attended by the Regional FOIA/PA Coordinators and four District Offices, looked at the following as they related to FOIA/PA activities:

- the principal work units;
- the need to identify the amount of work and the people involved; and
- the need to improve the process of collecting the above information.

The importance of obtaining this information was made apparent by contrasting INS with the FBI. The FBI currently has about 230 people in a centralized location handling approximately 15,000 requests a year; whereas, INS has 19 people specifically identified, and is expending between 49 to 50 man-years of effort, to respond to 30,000 to 35,000 requests a year. Largely because of the old reporting formats and the way in which they were used, FOIA/PA activities by many INS staff were not being recorded. As a result, requests for additional staff to do this work could not be substantiated by hard data.

Last year's conference determined the following reportable work elements:

- initial requests;
- appeals;
- litigation;
- training; and
- total productive hours.

The new pages of the G-22, and instructions for completing this form, follow as exhibits A and B. This form makes very specific provisions for documenting reportable work elements and the recorded data will be fed into, and integrated with, the Resource Allocation Model (see summary of Ed Lyle's talk: "Regional Resources Allocation Model").

Printouts from the FOIA/PA Case Tracking System should be used to fill in the monthly totals for several items; for these, there really is no need to complete daily totals (unless a "double check" is deemed necessary).

Questions/Concerns

The new G-22 lists total productive hours (708.1) and Clerical Support (708.5). Current

The issue of recording only valid requests was raised once again. Last November, all offices were charged with the task of examining the backlog of FOIA/PA requests. This review revealed that the backlog was, in part, created by counting invalid requests. Three types of requests were repeatedly classified as valid:

- requests for return of original documents;
- requests for status of something pending; and
- G-641s.

Aside from the problem of creating a backlog, an additional reason for correctly identifying valid requests is the penalties under law for not responding within stated time limits to valid FOIA/PA requests. One unfortunate consequence of this is that more people, particularly lawyers, will file under FOIA instead of using G-641s.

The question then arose as to where time should be recorded that is spent processing G-641s. It seemed that some were recording that time under 700.7b, while others were using the column labeled "correspondence." It was decided that the latter, 707.4, should be used.

Transfers of requests are considered valid requests and should be recorded under 708.1.

Several different means are currently being used in individual offices to record time spent on FOIA/PA activities by supplemental personnel such as attorneys. These include:

- hours on T & A;
- hours on G-22.18 and G-22.18.1;
- CADM-864; and
- WRADM-185A (in the Western region).

It was pointed out the CADM-864 is the official report designated to report FOIA/PA productive hours for both Records and Information (RA&I) personnel and non-RA&I personnel. The CADM-864 should be sent to the Regions for consolidation and not to the Central Office. Otherwise, it was pointed out that each form fulfills a different reporting function and, until a more thorough integration of the automated system is achieved, current practices should be maintained until further informed.

A final point of discussion focused on the concept of performing all FOIA/PA activities at one central location in order to ensure continuity and develop additional expertise. This certainly seemed ideal, but without centralized files it is not practical.

1. **Definition.** The FOIA/PA Program Operation includes the work performed to implement and comply with the Freedom of Information Act and Privacy Act of 1974. The work includes processing initial request, processing appeal of denials of initial request, activity related to litigation by FOIA/PA requesters, activity related to training in FOIA administration, and general administrative support of FOIA/PA activities.
2. **Source of Report.** The figures on FOIA/PA Program Form G-23.26 shall be obtained from the Daily Workload Record, Forms G-22.18 and G-22.18.1 and the FOIA/PA Case Tracking System Statistical Report for Requests Processed of the reporting office.

708 FOIA/PA Program Operations

708.1 Initial Requests:

Include only statistics for **valid** FOIA/PA **initial** requests activity. FOIA/PA activity other than processing initial requests must be reported under the other appropriate category within FOIA/PA activities. If requests are processed that do not come under the FOIA/PA program, they should be reported under the other program activity as appropriate. The number of requests on hand, received and completed can be obtained from the FOIA/PA Case Tracking System.

- (a). On hand beginning of period: Number of **initial** requests pending at beginning of report period. (Must equal previous month's (a)+(b)-(c)).
- (b). Received during the period: Total **initial** FOIA/PA requests received during the report period.
- (c). Completed during the period: Total FOIA/PA **initial** requests given a final response during the reporting period.
- (d). Production Hours: Total time spent processing **initial** requests by persons assigned/detailed to FOIA/PA duties. Do **not** include time of personnel who only provide clerical support to FOIA activities; that time is to be reported in 708.5 (e).

708.2 Appeals:

This activity will normally be minimal at levels below region. However, it must be reported separately from initial request activity to properly assess the impact of FOIA/PA appeal actions on FOIA/PA Program activity at each level.

- (a). On hand beginning of period: Number of **Appeal** actions pending at beginning of report period (must equal previous month's (a)+(b)-(c)).
- (b). Received during the period: Total FOIA/PA **Appeal** actions received during the reporting period.
- (c). Completed during the period: Total FOIA/PA **Appeal** actions completed during the reporting period.

- * (d). Productive Hours: Total time spent processing FOIA/PA **Appeals** by person(s) assigned/detailed to FOIA/PA duties. Do **not** include time of personnel who only provide clerical support to FOIA/PA activities; that time is to be reported in 708.5 (e).

3 Litigation:

This includes all FOIA/PA activity (to include processing initial requests or appeals) when it is done in response to **litigation** and under the direction/guidance of an Assistant United States Attorney, or INS General Counsel attorney, or the Central Office FOIA/PA Appeals and Litigation Specialist.

- (a). On hand beginning of period: Number of FOIA/PA requests in **litigation** (complaint filed in a district court) pending at beginning of report period.
- (b). Received during the period: Total FOIA/PA requests in **litigation** which have been received by your office for action. (e.g. processing request, preparing affidavit, etc.)
- (c). Completed during the period: Total FOIA/PA requests in **litigation** completed during the reporting period.
- (d). Productive hours: Total time spent on FOIA/PA actions that are in **litigation** by persons assigned/detailed to FOIA/PA duties. Do **not** include time of personnel who only provide clerical support to FOIA/PA activities; that time is to be reported in 708.5 (e).

4 FOIA/PA Training Given:

Hours spent in preparation for and conducting FOIA/PA training classes. Include time spent by **all** persons (specialist and clerical support) to write, collect, copy, type, assemble, etc., training material. Also include time required to prepare and obtain administrative approvals, make travel and facility arrangements, select and notify participants, etc.

- (a). Sessions/classes/courses: The number of separate classes given. Although a training class may last more than one day, it shall be counted as one class. If a class overlaps two months, report it for the month in which the class **ends**.
- (b). Number persons trained: Total number of students/participants in any one training session above.
- (c). Productive hours: Hours spent in preparation for conducting FOIA/PA training classes. Include time spent by **all** persons (specialist and clerical support) to write, collect, copy, type, assemble, etc., training material. Also include time required to prepare and obtain administrative approvals, make travel and facility arrangements, select and notify participants, etc.

5 Productive Hours:

- (a). Reported Items 708.1 thru 708.4:

- * (b). Training Received by FOIA/PA Personnel:
Enter the total hours of training courses attended during report period. Include all types of training, both formal and informal. Only include training received.
- (c). Administration (FOIA/PA) :
Include time spent in other FOIA/PA Program activities that are not included in any of the above categories. These include: Public Reading Room custodianship; supervision of FOIA/PA staff; preparation of FOIA/PA reports; writing or reviewing FOIA/PA policy and procedures; providing technical advice; conducting management studies or surveys; reviewing Privacy Act records; security and maintenance compliance; FOIA/PA budgetary functions; and, any other activities that are in support of the FOIA/PA program implementation.
- (d). Special Projects:
Report hours spent on Central Office or Region directed Special Projects. Only report hours here when the direct supervisor ordering the Special Project includes instructions to report the hours under Special Project code 708.5(d).
- (e). Clerical Support:
Report hours spent by clerical support personnel typing, photocopying documents, filing correspondence, performing data entry tasks, and answering telephones when those duties are performed by someone other than FOIA/PA personnel. Do **not** include the time reported here in any of the above activities.

708.6 Total FOIA/PA productive hours:

Sum total of hours in 708.5.

708.7 Total FOIA/PA non-productive hours:

Enter hours away from work on any type leave or absence without pay. This includes sick, annual, military, jury duty, or leave without pay. Do not include compensatory time or official holidays. Include time spent in performing collateral duties e.g. EEO, union affairs, special programs, etc. Include a total for the month.

708.8 Grand total FOIA/PA hours:

Enter the total of lines 708.6 and 708.7.

708.9 Non-FOIA/PA details:

UNITED STATES DEPARTMENT OF JUSTICE
Federal Bureau of Investigation
and Naturalization Service
Record

ACTIVITY:
RECORDS SYSTEMS

OPERATION:
FOIA/PA PROGRAM

Division No. _____
Reporting Office _____
Employee _____

3.1 INITIAL REQUESTS

708.2 APPEALS

708.3 LITIGATION

708.4 FOIA/PA TRAINING
GIVEN

CG

REC

(b)

COMP

(c)

PROD
HRS

(d)

O/H REC

(a)

REC

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COMP

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O/H REC

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O/H REC

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	RECORDS SYSTEMS	FY:	FY:	FY:	OCT.	NOV.	DEC.	JAN.	FEB.	MAR.	Total Oct.-Mar.	APR.	MAY	JUN
FOIA/PA PROGRAM OPERATIONS														
Initial Requests:														
1	(a) On hand beginning of period													
	(b) Received during the period													
	(c) Completed during the period													
	(d) Productive Hours													
Appeals:														
2	(a) On hand beginning of period													
	(b) Received during the period													
	(c) Completed during the period													
	(d) Productive Hours													
Litigation:														
3	(a) On hand beginning of period													
	(b) Received during the period													
	(c) Completed during the period													
	(d) Productive Hours													
FOIA/PA Training Given:														
4	(a) Sessions/classes/courses													
	(b) Number persons trained													
	(d) Productive Hours													
Productive Hours:														
5	(a) Reported Items 708.1-708.4													
	(b) Training Received													
	(c) Admin (FOIA/PA)													
	(d) Special Projects													
	(e) Clerical Support													
6	Total FOIA/PA Productive Hours:													
7	Total FOIA/PA Non-Prod. Hours:													
8	Grand Total FOIA/PA Hours:													
9	Hours on Non-FOIA/PA Details by FOIA/PA Personnel:													

Tuesday, July 16, 1985

Regional Highlights

The Northern Region covers the largest land area of any of the regions. It includes:

- 20 States;
- 17 Districts;
- 1 RAC;
- 1560 Personnel;
- 1.6 million A-files; and
- 2.5 million Federal records.

During this last year, the Northern Region has emphasized access to the automated tape library and Files Accountability.

The new realignment will result in the creation of 3 regions which must absorb both resources and responsibilities. This will pose some problems in terms of managing assets, particularly the increased travel requirements and the addition of new personnel. The realignment does communicate the message that INS continually strives to change, to create effective relationships between the field and management, and to search for new ways to fulfill their mission. Mr. Green stated that this is not true of other Federal agencies.

Southern Region

Gloria Williams--FOIA/PA

A memo was sent to the Field Offices that addressed the problem of the high number of backlogs in FOIA/PA requests. As a result, the number of backlog requests was reduced in Dallas from 97 to 51. However, such statistics do not reveal an accurate picture because there has not been sufficient training in the Case Tracking System. For example, receipt of requests must be accomplished via an acknowledgement receipt.

Ms. Williams will go on a training mission throughout the Southern Region. "Ask Immigration" was implemented first in the Southern Region (Charlotte) and enables the caller to request a tape with a touch-tone phone. The system will be implemented permanently by October 1.

June Hopson--Records

The Southern Region has been undergoing some reorganization during the last year (see Exhibits A and B). In addition to Records and Information, they are now responsible for Security. As such, the name ROREC (Regional Office Records) was changed to ROMIS (Regional Office Management Information and Security).

Today, Miami's workload is 3 or 4 times what it was in the 60s and 70s. This is attributed primarily to the influx of Cubans and Haitians. In 1965, the Miami office opened approximately 25,000 files. Staff at that time totaled 24. The number of files created per year now averages 36,000; plus, IMDAC opens over 30,000. However, the workforce has not kept pace and currently numbers 34 (excluding Information).

The Freedom and Privacy Acts have resulted in extreme volumes of workload, while requiring more skill and ability than previously has been expected of file clerks and typists. A study conducted last fall of the work flow resulted in upgrading several positions and in creating a FOIA/PA unit. In addition, two of the GS-3 mail clerks were upgraded to GS-4 applications clerks; this sets the stage for the operation of the FARES System and eventually the ACS System.

Eleanor Schleter--Security

Exhibit C shows how the Southern Region experienced realignment in 1976, with the resulting changes in locus of responsibility for the Security Program.

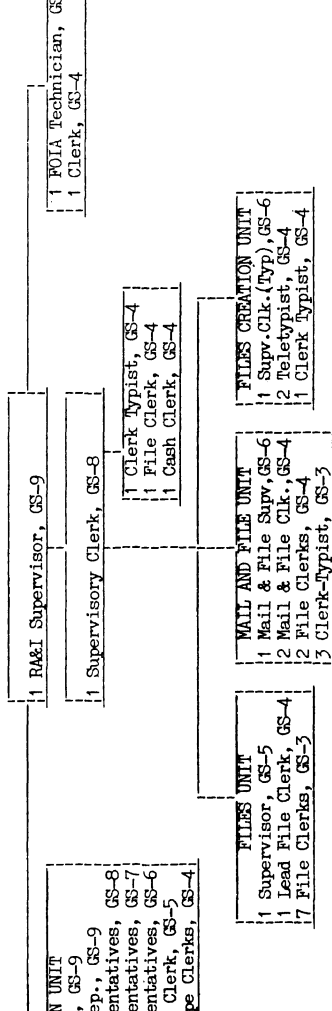
Five problem areas for the program are listed in Exhibit D, and the recommended solutions follow in Exhibit E. Responsibilities should be housed under one umbrella.

Exhibits E and G describe the current status of the program, listing specific

(BEFORE REORGANIZATION)

MIAMI DISTRICT ORGANIZATION

RECORDS ADMINISTRATION & INFORMATION BRANCH



MIAMI DISTRICT ORGANIZATION

RECORDS ADMINISTRATION & INFORMATION BRANCH
 1 Supv. Cont. Rep., GS-962-11
 1 Clerk, GS-303-04

INFO. SERVICES SECTION

Supv. Cont. Rep., GS-962-10

FREEDOM OF INFO. UNIT

1 Priv. & Frdm. Info. Spec., GS-303-5
 1 FOIA Clerk, GS-303-5
 1 FOIA Control Clerk, GS-303-4

GS-962-9
 962-7/8

RECORDS SECTION

1 Supv. Records Clerk, GS-303-8
 1 Clerk-Typist, GS-322-04

FILE UNIT

1 File Supervisor, GS-305-5
 1 Clerk-Typist, GS-322-4
 3 File Clerk, GS-305-4
 6 File Clerk, GS-305-3

DATA UNIT

1 Supv. Data Trans., GS-356-
 7 Data Transcriber, GS-356-
 2 Mail & File Clerk, GS-305-

MAIL & COMMUNICATIONS UNIT

1 Supervisory Clerk, GS-303-6
 1 Mail & File Clerk, GS-305-4
 2 Teletypist, GS-356-4/5
 2 Apps. Clerk, GS-963-4
 1 Mail Clerk, GS-305-3

EXHIBIT B

SOUTHERN REGION

SECURITY PROGRAM

- **SOUTHEAST REGION (1955 — 1975)**
 - **SECURITY OFFICER**
 - **PERSONNEL**
- **SOUTHERN REGION (1976 — APRIL 1985)**
 - **INTELLIGENCE**
 - **RECORDS & INFORMATION**
 - **PERSONNEL**
 - **PROPERTY MANAGEMENT & PROCUREMENT**
 - **COMMISSIONER'S STAFF**

PROBLEM AREAS

LACK OF COORDINATION

VERIFICATION OF PERSONNEL INVESTIGATIONS

**LACK OF FIELD SECURITY INSPECTIONS
CONDUCTED**

NO CONTRACT REVIEW FOR SECURITY PURPOSES

POSITION SENSITIVITY DESIGNATIONS

SOLUTION

- **CENTRALIZE SECURITY PROGRAM RESPONSIBILITIES**
- **ESTABLISH SECURITY OFFICER POSITION**
- **ESTABLISH POSITION TO ASSIST SECURITY OFFICER**

CURRENT STATUS

- **COMMITMENT**
- **SECURITY OFFICER POSITION FILLED
APRIL 14, 1985**
- **ASSISTANT POSITION PENDING FREEZE**
- **PROGRAM RESPONSIBILITIES**

SECURITY PROGRAM RESPONSIBILITIES

ALL RESPONSIBILITY

SECURITY OFFICER

UMENT CONTROL

- INTELLIGENCE/SECURITY OFFICER

ONNEL SECURITY

- PERSONNEL/SECURITY OFFICER

ESS SECURITY

- SECURITY OFFICER

TRACT SECURITY

- SECURITY OFFICER

RGENCY PREPAREDNESS

- SECURITY OFFICER

RITY INSPECTIONS

- SECURITY OFFICER

ISICAL SECURITY

- PROPERTY MANAGEMENT &
PROCUREMENT/SECURITY OFFICER

SECURITY OFFICER PROGRAM

- SECURITY OFFICER

KEEPING & STORAGE

- SECURITY OFFICER

SECURITY

- RECORDS & INFORMATION/
SECURITY OFFICER

UMENT SECURITY

- PERSONNEL/SECURITY OFFICER

Mr. Halavaty presented slides of the new Los Angeles facility. In addition, four new offices were opened during the past year:

- San Jose, California--Suboffice. This would rank in size as 1 of the 10 largest district offices. It handles 4,000 fees per day; 4,500 personal inquiries per day; 3,000 other applications; and 10,000 calls per month.
- Otay Mesa, California--Port of Entry. This is located 20 miles south of San Diego.
- Florence, Arizona--Processing Center. This used to be a POW camp during WWII and is now a 175-bed detention center that includes a medium security jail and a camp facility.
- Western Telephone Service Center--Regional Office. Thirteen individuals staff this center and handle 22% more calls than previously handled by the cities who feed into the center.

In Records, Project Inform has received considerable attention in the Western Region. Specifically, efforts are being directed to capture FRC Docket Card data on tape and all A-files are being bar coded. In addition, the Tiger Team has visited San Francisco, Los Angeles, and San Diego. Reaction to the team has been very enthusiastic.

In the Eastern Region, the mail management project, implemented in all district and regional offices, saved INS approximately \$110,000. The Telephone Service Center, in New York City, has presented some staffing and technical problems, but it certainly utilizes limited resources more efficiently.

Exhibits H - K reveal different facets about the automated security and ADP password index. The software is available to any region that would like to implement this system; large districts should also consider using it.

Exhibits L and M, and memo and attachments from Michael D. Mosbacher, illustrate the emphasis placed by the Eastern Region on improving the image of the Service. Focus is placed on the Contact Rep Panel that selects officials for that position.

EXHIBIT

-----CURRENT STATUS: CURRENT STATUS DATE: SECURITY OFFICE-----

RECORD OF SECURITY CLEARANCE

APPLICANT'S LAST NAME:
FIRST NAME:
MIDDLE INITIAL:

OFFICE:
TITLE:
SSAN:

ACCESS CLEARANCE:
ACCESS DATE:
ACCESS ISSUED BY:
CU-10450 DATE:

-----INPUT HELP-----USE 'AUX DUMP' TO MOVE THROUGH A F
1/ REQUEST TO CU '2' CU APPROVED '3' SP164 TO APPLICANT '4' SP

PASSWORD CONTROL LOG RECORD

OFFICE:
APPLICANTS LAST NAME:
FIRST NAME:

SYSTEM:
PERMISSION:

DATE OF REQUEST:
DATE OF ISSUANCE:
CHANGE DATE:
TERMINATION DATE:

EU-10450 DATE:
EXPANDED NACI/OPM CREDIT CHECKS:
NACI/LOCAL CREDIT CHECKS:

INPUT HELP-----USE 'AUX QUP' TO MOVE THROUGH A FIELD
SEE CHARACTER LOCATION CODE (EG. ERU)

EASTERN REGION RECORDS
IMMIGRATION AND NATURALIZATION SERVICE
FEDERAL BUILDING BURLINGTON VERMONT

SORT BY SYSTEM

CANTS NAME	SYSTEM/ PERMISSION	DATE OF REQUEST	DATE OF ISSUE	CHANGE DATE	TERM DATE	E10450 DATE	NACI/ OPMCC
	STSC S	122684	013085			042467	
	STSC S	122684	013085			121869	
	STSC S	121384				090382	
	STSC S	121384				121669	
	STSC S	121384				042760	
	STSC S	121384				010874	
	STSC S	121384				110172	
	STSC S	121384				011579	
	STSC S	121384				092661	
	STSC S	121384				100182	
	STSC S	102284	112984			031880	
	STSC S	102284	112984			052479	
	STSC	041105				122480	
	STSC S	102284	112984			030371	
	STSC S	101984	112984			020576	
	STSC S	121084	013085			041779	

NUED

T/SUBOFFICE Hartford, Connecticut

ONS ON THIS SURVEY SHOULD BE DIRECTED TO John P. Weiss, Acting District Director

NAME

SUMMARIZE COMPLAINT DATA FOR FY 1984 (FOR INFORMATION ROOM/TELEPHONE SERVICES ONLY) AS SPECIFIED IN

WHAT WAS DUE TO:

AVE WAITING TIME

INATION

S

AVE PROCESSING TIME FOR APPLICATIONS

TING ROOM FACILITIES

NUMBER OF COMPLAINTS BY SOURCE

GENERAL PUBLIC

CONGRESSIONAL

ATTORNEY

VOLAG

150

0

3

50

0

the Selection Process for Supervisory and Non-Supervisory Representative Personnel and Provide Supplemental Training that s Improved Public Service													Action Officer: John A. Bramblett		Date 4/11/85		Page 2 of 2								
S													C O M M E N T S												
T E C H N I C A L																									
O	N	D	J	F	M	A	M	J	J	A	S														
ing/selection plan	▲												1. Screening/selection plan using panel interview as proposed will not affect MPARP if selection list is prepared first, then panel interview candidates.												
ation methodology	▲												3. A complaint survey form was designed to capture data for the past fiscal year.												
ing/selection													7. No. C. O. funding provided.												
more E.R.																									
report Interim																									
terly basis																									
ing curriculum for																									
non-supervisory																									
personnel																									
to public																									
111 in "Meet and																									

PLANNED QUARTERLY RESULTS:		APPROVALS		INITIALS		DATE	
1st Qtr.:	Screening/selection plan under development; evaluation methodology finalized; collection of baseline data initiated.	LEAD					
2nd Qtr.:	Screening/selection plan and evaluation methodology implemented.	ASSOCIATE					
3rd Qtr./4th Qtr.:	Quarterly progress reports on interim evaluation results.	DEPUTY					
		COMMISSIONER					

Memorandum

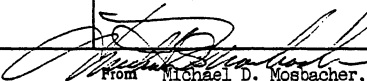


Subject
Meet and Deal Panel Interview -
Contact Representative Positions

Date

ER 71/335-C
July 8, 1985

o All District Directors,
Eastern Region


From Michael D. Mosbacher,
Associate Regional
Commissioner, Management
Eastern

The Commissioner's Priority No. 11 - Improve Public Service and Image of the Service - is being accomplished in the Eastern Region by the addition of a meet and deal panel interview to the selection process for contact representative positions.

On March 18, 1985, draft guidelines for conducting the interviews were forwarded to you for comments. The comments received were overwhelmingly supportive of this proposed process and suggested additions or changes to the procedures have been carefully considered. The following changes/additions have been made.

- The panel Chairperson will be responsible for contacting applicants and setting up interview appointments.

- Composition of the panel should be no fewer than three members. This will eliminate the problem of a "split decision" should a two member panel be used.

- Panel Chairperson will welcome the candidate and perform introductions.

- Before interviews begin, panel members should select the four situations they will present to each candidate. To ensure fairness, all candidates will be presented the same four situations.

- Background Questions have been eliminated. Purpose of the interview is to assess meet and deal abilities. All candidates that reach the interview process are qualified for the position and the panel needs only to evaluate meet and deal abilities.

Effective immediately the meet and deal panel interviews will be part of the selection process for contact representative positions. Please take the following steps when processing a contact representative position.

2. Follow procedures of MP & RP (AM 2265) up to the point of AM 2265.
d. Action by the selecting official.
3. Before selection list is presented to selecting official the meet and deal panel interview should be conducted. The results of the interview should be furnished to the selecting official with the selection list and other relating documents (SF-171's, appraisals, etc.). It should be noted that the panel assessments are not binding but should be a valuable source of information for the selecting official.
4. The meet and deal panel interview records should be made a part of the promotion records and retained for a period of two years.
5. The meet and deal panel interview guidelines should be safeguarded in your office. They should not be reproduced or disseminated outside of your office.
6. In conjunction with the Freedom of Information Act, Forms ER 663 and ER 664 can be released in their entirety to the requester (his/her) and on the selected applicant. Requests for these forms on other candidates must be sanitized.

An initial supply of Forms ER 663 and ER 664 are attached. You may request these forms locally on an as-needed basis.

While the selection of panel members is left to the discretion of the Director, it is recommended that neither the selecting official nor any of the candidate's supervisors be selected as panel members.

Please advise Roger W. Woods, Assistant Regional Commissioner, Personnel, if you wish to have a course offered to train panel members in the techniques of conducting interviews.

Any questions you have regarding implementation of the meet and deal panel interview process should be directed to your servicing Personnel Management Specialist.

Attachments--Meet and Deal Panel Interview Guidelines

Form ER 663 (10)

Form ER 664 (10)



MEET AND DEAL PANEL INTERVIEW GUIDELINES

Contents

- I. MANDATORY ITEMS (Responsibilities)
- II. DETAILED PROVISIONS
 - A. SETTING FOR THE INTERVIEW
 - Participants in the Interview
 - Composition of the Panel
 - Location
 - Seating Arrangements
 - Supplies
 - B. CONDUCTING THE INTERVIEW
 - Preliminaries
 - Opening the Interview
 - Interview Questions
 - Closing the Interview
 - C. JOB SITUATION QUESTIONS
 - D. EVALUATING THE CANDIDATE'S PERFORMANCE
 - Factors to be Considered
 - Rating Procedure
 - E. SAMPLE OBSERVATIONS
 - Positive Observations
 - Negative Observations
 - F. INDIVIDUAL INTERVIEWER'S RATING FORM ER 663
 - G. COMPOSITE RATING FORM ER 664

I. MANDATORY ITEMS (Responsibilities)

A. District Director

The District Director must select the panel of interviewers and designate a chairperson. (See Composition of Panel.)

B. Panel Chairperson

The panel chairperson is responsible for making the following arrangements for the interview and for the proper conduct of the interview.

Making Arrangements

1. Reserving an interview room.
2. Notifying the panel committee and individual candidates of interview schedule and location.
3. Making sure that there is a receptionist to greet the candidates and tell them where to wait.
4. Having the necessary supplies available. Assistance in making arrangements may, of course, be requested from the resident District Director.

Conducting the Interview

1. See that the candidates are greeted and introductions made.
2. Check interview timing.
3. Keep interview on track.

Completing the Evaluation Process

1. See that the evaluations are arrived at and recorded properly.
2. See that all forms and papers are dispatched according to servicing personnel office procedures.

C. Interviewers

1. All interviewers must conduct the interviews in a manner that is fair to each candidate.
2. Interviewers' evaluations must be based on an objective analysis of the candidate's ability to perform the tasks necessary for success in the job.

2. Composition of the Panel

There should be no fewer than three panel members.

3. Length of the Interview

The time allotted for each candidate is to be about 30 minutes. Outside interruptions should not be permitted. Allow 10 minutes between interviews.

4. Location

Interviewers should try to use the same setting for all candidates to be interviewed. It is best to use as comfortable and quiet a room as facilities permit. Telephonic interviews are permitted.

5. Seating Arrangements

A suggested seating arrangement is for the interviewers and the candidate to be seated together at a table. Care must be taken to allow the interviewers enough privacy to make notes and to ensure the candidate must be readily observed and heard. Using the same seating arrangement for all candidates helps standardize the interviewing process.

6. Supplies

The Meet-and-Deal Panel Interview
Candidate's Individual Application
Interviewer's Rating Form
Composite Rating Form

B. CONDUCTING THE INTERVIEW

1. Preliminaries

Before the interview, interviewers must review the interview procedure, the candidate's application, and select the four situations to be presented to each candidate. All candidates should be presented same four situations.

2. Interviewers must follow the recommended format in order to standardize the interview process.

3. Opening the Interview

Panel Chairperson should welcome the candidate and perform introductions.

Interviewers can put the candidate at ease by briefly discussing the interview process.

Tell the candidate that interviewers will be making some notes during the course of the interview but that their formal evaluation of the candidate's abilities will not begin until after the interview is complete (and the candidate dismissed).

4. Job Situation Questions

A list of 20 typical job situations follows in the "Interview Guide". Some of them concern problems in interviewing; others propose questions related to the workplace. Each candidate responds to four varied situations. The same situations should be used for each candidate. Interviewers should ask followup questions to determine the basis for the candidate's responses and to elicit comments.

5. Closing the Interview

Ask candidate if there are any questions. Thank the candidate for participating in the interview but avoid giving any feedback on the candidate's performance.

C. JOB SITUATION QUESTIONS

D. EVALUATING THE CANDIDATE'S PERFORMANCE

1. Factors to be Considered

The candidates are to be evaluated on their ability to meet with INS's beneficiary public. Specific factors to look for are listed below.

- a. Oral Communication: The demonstrated ability to express so that they are readily understood. The ability to listen and comprehend what is being said by others.
- b. Interpersonal Skills: The demonstrated ability to perceive objectively the effect of one's behavior and the ability to adjust that behavior to meet the demands of an interview situation.
- c. Motivation: The demonstrated ability to direct energy to productive public contact work, interest in working cooperatively with peers, subordinates and superiors in order to render service directly to beneficiaries.

2. Rating Procedure

- a. Individual Interviewers' Rating Form: Form ER 663 officially documents an interviewer's evaluation of the candidate's meet-and-deal ability and should be completed by each interviewer individually.

The front page of the form lists and describes the three abilities to be observed during the interview. The ratings (0, -) are defined at the top of the form. The lower part of the sheet, as well as the back of the sheet, if necessary, is used for the interviewer's overall evaluation ("acceptable" or "not acceptable") of the candidate and provides space for "summary comments" clarifying and supporting the rating. Examples of descriptive documentation are contained in the section "Sample Observations." Care must be taken to describe the candidate's behavior as it relates to meet-and-deal ability as a whole, rather than focusing on specific instances.

On all factors, yet might not warrant a rating of "acceptable." On the other hand, even if a candidate is rated favorably on two of the factors and unfavorably on one, a rating of "not acceptable" may be warranted. In cases, it is essential that the interviewer fully explain the narrative form the reasons for the conclusion.

In every case, each interviewer must summarize, specifically in detail, total impressions of each applicant.

- b. Composite Rating Form : Form ER 664 is the final record of the panelist's overall evaluation as well as the overall evaluation of the panel as a whole. Narrative summary is not required on this form. After each interviewer has completed an Oral Interview Rating Form, he/she will then complete and sign the Composite Rating Form.

A candidate will be rated "acceptable" by the panel only if a majority of interviewers agree. Otherwise, an applicant will be rated "not acceptable."

E. SAMPLE OBSERVATIONS

Following are examples of observations of the best and worst of candidate performance during an interview. They are provided for interviewers in documenting performance. They cannot be used verbatim because they need examples of specific behavior to complete the observation.

1. Positive Observations

Shows understanding by . . . that interviewer must treat applicants for INS's services with fairness (or dignity, or compassion).

Shows understanding by . . . that interviewer needs to verify that his/her explanation (or questions) are understood.

Shows understanding by . . . that tact is important in explaining requirements (or getting information).

Shows understanding by . . . that interviewer must deal effectively with any hostile clients.

Shows understanding by . . . that interviewer must accommodate different methods and style to needs of handicapped.

Shows understanding by . . . that people outside "mainstream" culture may interpret interviewer's question (or statement or behavior) differently than do people in "mainstream."

Listened carefully to instructions (or questions) and responded

Shows understanding by . . . that people may distort facts in reporting them, because of passage of time (or self-interest or failure to understand).

Shows understanding by . . . that people may feel overwhelmed by complexity of governmental procedures (or requirements for information).

Applicant showed sensitivity to needs of others by . . .

Quickly established rapport with the interviewers by . . .

Spoke in a voice and manner that elicited positive interest and attention.

Covered ideas clearly, logically and succinctly.

Addressed all major points in responses.

Used appropriate examples to make ideas understandable.

Illustrated ability to deal with frustrating situations by . . .

Illustrated ability to direct energy toward cooperative efforts by . . .

2. Negative Observations

Spoke without much forethought, then had to retreat. Said . . .

Failed to address major points.

Made logically incompatible statements.

Presented ideas in a sequence that was hard to follow.

Digressed frequently from main point.

Did not go into enough detail to make ideas clear.

Went into so much detail that main ideas got lost.

Took too much time (or too many words) to express ideas.

Spoke dogmatically about potentially controversial matters.
Said . . .

Got ideas across only after prodding by interviewers.

Talked as though an interviewer necessarily has an adversary relationship to clients. Said . . .

Paid little attention to instructions or questions and . . .

Misinterpreted what interviewers said and . . .

Mumbled so panel could not easily hear what was said.

Used technical jargon without explanation.

Showed contempt for (certain) people by saying.

Showed inability to deal with frustrating situation by saying . . .

Demonstrated an impatience with the handicapped by saying . . .

Showed extreme rigidity, inability to modify behavior appropriately.

Demonstrated confusion, disorganization, chaotic nongoal oriented behavior.

Laughed inappropriately, wept, frequently interrupted without apology . . .

Difficult to understand because of constant syntactical or grammatical errors, trembling, shifting . . .

Prefers working alone to cooperative efforts: said . . .

INDIVIDUAL INTERVIEWER'S RATING FORM

Name of Candidate

Position to be Filled

Place of Interview

Date of Interview

INSTRUCTIONS—This work sheet is designed to assist you in evaluating the behavior of the candidate. The symbols +, 0 and - appear each time. If the candidate's demonstrated ability makes favorable impression, circle the +. If the candidate's demonstrated ability makes an unfavorable impression, circle the -. If the candidate's demonstrated ability is neither favorable nor unfavorable, circle the 0.

Oral Communication : The demonstrated ability to express ideas so that they are readily understood. The ability to listen and comprehend what is being said by others. + 0 -

Interpersonal Skills : The demonstrated ability to perceive objectively the effect of one's behavior and the ability to adjust that behavior to meet demands of an interviewing situation. + 0 -

Motivation : The demonstrated ability to direct energy toward productive public contact work; interest in working cooperatively with peers, subordinates and superiors in order to render service directly to beneficiaries. + 0 -

ORAL EVALUATION

Keeping in mind all of the information obtained from the interview, this candidate is (circle the correct evaluation):

ACCEPTABLE

NOT ACCEPTABLE

SUMMARY: A narrative summary of the interviewer's overall impression of the candidate must be prepared to clarify and support the rating. This summary will be used for further evaluation and in answering possible appeals and should, therefore, be specific and complete. If your summary rating would appear to be inconsistent with the ratings on individual factors, be certain to document the reasons therefore:

PANEL INTERVIEW EVALUATION OF MEET-AND-DEAL ABILITY
COMPOSITE RATING FORM

Name of Candidate

Current Employment

Place of Interview

Position To Be Filled

Date of Interview

INDIVIDUAL INTERVIEWER'S OVERALL EVALUATION

Each interviewer circles the correct word indicating the overall evaluation and signs in the appropriate box.

ACCEPTABLE

NOT ACCEPTABLE

Signature of Interviewer

ACCEPTABLE

NOT ACCEPTABLE

Signature of Interviewer

ACCEPTABLE

NOT ACCEPTABLE

Signature of Interviewer

PANEL'S OVERALL EVALUATION

The panel chairperson circles the correct word indicating the panel's overall evaluation.

ACCEPTABLE

NOT ACCEPTABLE

INDIVIDUAL INTERVIEWER'S RATING FORM

Name of Candidate

Position to be Filled

Place of Interview

Date of Interview

INSTRUCTIONS—This work sheet is designed to assist you in evaluating the behavior of the candidate. The symbols +, 0 and - appear each time. If the candidate's demonstrated ability makes favorable impression, circle the +. If the candidate's demonstrated ability makes an unfavorable impression, circle the -. If the candidate's demonstrated ability is neither favorable nor unfavorable, circle the 0.

Oral Communication : The demonstrated ability to express ideas so that they are readily understood. The ability to listen and comprehend what is being said by others. + 0 -

Interpersonal Skills : The demonstrated ability to perceive objectively the effect of one's behavior and the ability to adjust that behavior to meet demands of an interviewing situation. + 0 -

Motivation : The demonstrated ability to direct energy toward productive public contact work; interest in working cooperatively with peers, subordinates and superiors in order to render service directly to beneficiaries. + 0 -

ORAL EVALUATION

Keeping in mind all of the information obtained from the interview, this candidate is (circle the correct evaluation):

ACCEPTABLE

NOT ACCEPTABLE

SUMMARY: A narrative summary of the interviewer's overall impression of the candidate must be prepared to clarify and support the rating. This summary will be used for further evaluation and in answering possible appeals and should, therefore, be specific and complete. If your summary rating would appear to be inconsistent with the ratings on individual factors, be certain to document the reasons therefore:

PANEL INTERVIEW EVALUATION OF MEET-AND-DEAL ABILITY

COMPOSITE RATING FORM

Name of Candidate

Current Employment

Place of Interview

Position To Be Filled

Date of Interview

INDIVIDUAL INTERVIEWER'S OVERALL EVALUATION

Each interviewer circles the correct word indicating the overall evaluation and signs in the appropriate box.

ACCEPTABLE

NOT ACCEPTABLE

Signature of Interviewer

ACCEPTABLE

NOT ACCEPTABLE

Signature of Interviewer

ACCEPTABLE

NOT ACCEPTABLE

Signature of Interviewer

PANEL'S OVERALL EVALUATION

The panel chairperson circles the correct word indicating the panel's overall evaluation.

ACCEPTABLE

NOT ACCEPTABLE

Signature of Panel Chairperson

Security

Walt Cory

Exhibit A lists the major activities of Central Office Security (COSEC). A G-201 must be completed by the requesting office, and processed on the regional level, before a security clearance can be obtained. In addition, a signature on the SF 189 is required. Exhibit B provides some information about completing the G-201, and obtaining clearances.

As shown on the Request for Clearance, Exhibit C, there are three levels of clearances that can be requested:

- Top Secret;
- Secret; and
- Confidential.

The level of Secret covers almost 98% of the classified material in INS. Requests for clearances can only be made for individuals in sensitive positions. The justification must clearly state the need for access to classified information. Also, a full-field investigation of the individual must be on file before a clearance can be granted.

Mr. Cory distinguished the security clearance process from that required to obtain an ADP password. There is no classified material in the ADP systems.

Careful attention must be directed to how classified material is transmitted (see Exhibit D). Only those individuals who have the appropriate clearance can see this information. When such materials are improperly transmitted, two outcomes may result:

- If there is no compromise of the material, the incident can be treated as an "administrative security violation."
- If an unauthorized person reads the classified material, a formal investigation is required.

CENTRAL OFFICE SECURITY (COSEC)

- **SECURITY CLEARANCES FOR
NATIONAL SECURITY
INFORMATION**
- **HANDLING, CONTROL AND
DISCUSSION OF CLASSIFIED
INFORMATION**

SECURITY CLEARANCES FOR NATIONAL SECURITY INFORMATION

- **USE G-201, REQUEST FOR CLEARANCE FOR ACCESS TO CLASSIFIED INFORMATION, TO OBTAIN ONE**
- **CHECK APPLICABLE BLOCK SHOWING LEVEL NEEDED: CONFIDENTIAL, SECRET, OR TOP SECRET**
- **SENSITIVE POSITION MUST BE OCCUPIED**
- **JUSTIFICATION MUST CLEARLY STATE THE PERSON'S NEED TO HAVE ACCESS TO NATIONAL SECURITY INFORMATION (NSI)**
- **PERSON MUST HAVE A COMPLETED FULL FIELD INVESTIGATION**
- **JUSTIFICATION STATING THE PERSON REQUIRES A SECURITY CLEARANCE FOR NSI TO ACCESS DACS, NAILS, MIRAC, ETC. IS INVALID. ONE DOES NOT REQUIRE A CONFIDENTIAL OR SECRET CLEARANCE TO ACCESS THESE AND OTHER ADP SYSTEMS**

Use Typewriter or Print in Block Letters with Ballpoint Pen Submit in Triplicate		Date
To: Security Officer <input type="checkbox"/> C.O. <input type="checkbox"/> R.O.	From: (Signature, Name, Title and Station of Requesting Officer)	

Name of Employee (Last, First, Middle Initial)	Title of Employee	Social Security No.
------------------------------------------------	-------------------	---------------------

I. TYPE OF REQUEST

- ☐ This is an initial request. The above named employee is requested to have access to classified information to perform official duties.
- ☐ This is a request for ☐ upgrading ☐ downgrading the clearance level due to a change in duties or position.
- ☐ This is a request for cancellation of clearance due to

II. LEVEL OF CLEARANCE REQUESTED

- ☐ Top Secret ☐ Secret ☐ Confidential
- Sensitive Position ☐ Yes ☐ No

III. JUSTIFICATION FOR REQUEST (See reverse)

IV. SECURITY OFFICER ACTION

- ☐ Clearance approved for access to information classified as high as:
- ☐ Top Secret ☐ Secret ☐ Confidential
- ☐ Clearance disapproved

REMARKS

Date	Signature of Security Officer
	Typed or Printed Name of Security Officer:

V. EMPLOYEE CERTIFICATION AND ACCESS CLEARANCE NOTIFICATION

I certify that I have been briefed on, or have read, (strike out inappropriate words) and understand the provisions of Section 2100 of the Administrative Manual relating to the protection of classified information.

Date	Signature of Employee
------	-----------------------

HANDLING, CONTROL AND DISCUSSION OF NATIONAL SECURITY INFORMATION

- YOUR INDIVIDUAL RESPONSIBILITY TO KNOW THE PERSON YOU ARE DISCUSSING INFORMATION WITH OR GIVING IT TO HAS THE PROPER LEVEL OF SECURITY CLEARANCE
- YOU CAN DETERMINE THE PERSON'S SECURITY CLEARANCE BY CHECKING WITH YOUR LOCAL SECURITY OFFICER OR THE REGIONAL SECURITY OFFICER. IF ALL ELSE FAILS, CALL COSEC ON FTS 633-2323
- NATIONAL SECURITY INFORMATION MUST BE MAINTAINED UNDER POSITIVE CONTROL; DON'T LEAVE IT UNATTENDED ON YOUR DESK OR IN THE OPEN AFTER DUTY HOURS; LOCK IT UP WHEN YOU CANNOT CONTROL IT
- DON'T DISCUSS CLASSIFIED INFORMATION OVER THE TELEPHONE IF THEY ARE UNSECURE
- NON-RECORD NATIONAL SECURITY INFORMATION SHOULD BE PURGED ON A CONTINUING BASIS. IT IS COSTLY TO MAINTAIN AN UNNECESSARY VOLUME OF CLASSIFIED DATA. SAFES ARE EXPENSIVE AND THE NECESSITY TO ORDER NEW SECURITY STORAGE EQUIPMENT COULD BE DECREASED IF OLD FILES WERE PURGED BY PROGRAM MANAGERS ON A REGULAR BASIS

Control of Agency Reports and Classified Information

Bill Polli

The Central Office is charged with maintaining control of certain material, classified and unclassified, received by a Service office from outside the Service. The purpose of the control is to maintain a centralized record of the location and disposition of such information. The control is maintained on Form G-352, Agency Information Control Record, in the Confidential Records Unit, Records Management Branch, Central Office. Each set of forms contains a control number. Form G-352 is currently in six parts, letters "A" through "F". When material is placed under control, the "A" copy is sent to the Central Office. The "A" copy is used as a tickler to ensure receipt of the notice of final disposition of the controlled material. The "B" copy should be destroyed. (Form G-352 is under review and will be revised to delete this copy). The "C" and "D" copies are extra copies used to advise the Central Office of the movement of the controlled material before it is finally placed in a file. The "F" copy is used to advise the Central Office of the file in which the material was placed. It is used in the Central Office to purge "A" copy and is filed alphabetically in the Control Index.

Each piece of material to be controlled is to be stamped on the reverse with a stamp to show that it has been placed under control. The control number is inserted immediately and when the material is initially filed, the file number is then posted.

All field offices shall establish and maintain a "master" or central Controlled Information Index for all incoming controlled materials and all materials placed under Form G-353, Controlled Information Index Card. This index shall be located in the Records section of each file control office and in each field office which does not receive correspondence through a file control office. The control procedure is explained in full detail in AM 2792.17, paragraph 11.

Material is also controlled by Form G-84, Document Receipt. This form is used when material is mailed from one office to another and it should be completed immediately upon receipt of the file/material by the receiving office and returned to sender. Form G-133, Signature Card For Classified File is signed upon receipt of the file/materials by the individual and returned to your control index.

Any office receiving the following types of reports must control the material immediately:

- All Top Secret and Secret material originated, received or transmitted by Service offices that have been classified as national security information including all copies prepared from a controlled document.

movements, conditions or situations in foreign countries, etc., received from the FBI.

Controlled material may be destroyed upon written authorization from your local security officer. The destruction of the material is to be reported to the Central Office on Form G-352F when the material has not been placed in a file. If the material was placed in a file and controlled by Form G-352, the Central Office Confidential Records Unit has to be notified of the destruction by memorandum, furnishing the subject and the control number appearing on the "Correspondence Control Notice." The memorandums and Forms G-352 reporting the destruction of the controlled material will also contain the following information:

- The method of destruction used,
- The time and place of destruction,
- The reason for such destruction, and
- The name of official performing the destruction and witness present during destruction.

In October 1984, a follow-up procedure was established in the Central Office Confidential Records Unit by forwarding copies of all pending cases 60/90 days to the controlling office requesting the final disposition of the controlled information. After 30/60 days, if no response was received from the office, copies of Forms G-352A are sent to their regional office to ensure that the final disposition of the controlled information is forwarded to the Central Office. We forwarded 1,284 cases to the field offices and 394 cases are pending receipt of final disposition of the controlled information.

Please inform your co-workers the procedures to be followed in the control of agency reports and classified information.

HOW IS THE MATERIAL TO BE CONTROLLED?

**FORM G-352, AGENCY INFORMATION
CONTROL RECORD**

FORM G-84, DOCUMENT RECEIPT

**FORM G-133, SIGNATURE CARD FOR
CLASSIFIED FILE**

**FORM G-353, CONTROLLED INFORMATION
INDEX CARD**

FOR TRAINING ONLY

SEE INSTRUCTIONS ON REVERSE OF G-352F OF THIS FANFOLD
(2) Agency Subject or Title (Reference, File No.,
etc. If person, show last name (Last), first,
middle)

Department of State, AM Consul

Calcutta
Director of Controlled Document

May 17, 1983

Terrorism Possibly Extending
to the United States

Summary:

Notification and names of persons believed to be involved in
terrorist activities which may possibly extend into the U. S.

(9) To: COBOR	(10) To: COSEC	(11) To:
Date: 5/26/83	Date: 7/8/83	Date:
No. of Documents 1	No. of Documents 1	No. of Documents
For: Information	For: Destruction	For:
From: COINTE	From: COBOR	From:

(3) 862239 Office Symbol 000000	(4) Classification of Document: Unclas. Conf. Secret X	(7) INS File Number CO 123-C
(12) Copies of Controlled Documents	No. Received	No.

FOR TRAINING ONLY

NOTICE OF CONTROL OF THIS CORRESPONDENCE

_____ (s) where this communication and its enclosures, if any, are being filed, are being noted in Central Office Confidential Records under Control No. _____. If any change made from initial place(s) of filing, notify Central Office Confidential Records Unit by memorandum on short Standard Form 64 referring to above control number.

_____ where initially filed _____.

UNITED STATES DEPARTMENT OF JUSTICE
Immigration and Naturalization Service

DOCUMENT RECEIPT

O: (Office) (Address)

Date:

DESCRIPTION OF DOCUMENT *

SUBJECT	DOCUMENT DATE	DOCUMENT NO. (IF ANY)	CLASSIFICATION	FILE NUMBER	NO. OF COPIES	NO. OF ATTACH- MENTS

When file containing multiple parts is transmitted state in subject
check each part included.

SIGN AND RETURN IMMEDIATELY TO:

Immigration and Naturalization Service

Receipt is acknowledged of the classified
material bearing the identifying information
listed above.

SIGNATURE:

OFFICE:

DATE OF RECEIPT:

SIGNATURE CARD FOR CLASSIFIED FILE

FILE NO: _____, 19 ____
(Date of receipt)

FROM _____

SUBJECT _____

(Signature)

This form is to be used to show receipt of classified file either at time of original charge or on transfer.

133 (Rev. 11-20-62)

Title

G-352 Number

Document Date	Agency		Date Received
No. Copies Received	No. Copies Made	INS File	Classification
Number Copies to:	Office or File		Date
Number Copies to:	Office or File		Date
Number Copies to:	Office or File		Date
Number Copies to:	Office or File		Date

CONTROLLED INFORMATION INDEX CARD

UNITED STATES DEPARTMENT OF JUSTICE
Immigration and Naturalization Service

FORM G-353 (A) (3-1-79)

WHERE IS THE MATERIAL CONTROLLED?

**CENTRAL OFFICE CONTROL INDEX —
FORMS G-352A FILLED ALPHA**

**FIELD OFFICES/CONTROLLED INFORMATION
INDEX FORM G-353, CONTROLLED
INFORMATION INDEX CARD**

DISPOSITION:

FILE MATERIAL IN A-FILE/SUBJECT FILE

REPORT DESTRUCTION TO CENTRAL OFFICE

- **FORM G-352F WHEN THE MATERIAL HAS NOT YET BEEN PLACED IN THE FILE**
- **BY WRITTEN AUTHORIZATION (MEMO) IF IN FILE
 - **METHOD OF DESTRUCTION USED**
 - **TIME AND PLACE OF DESTRUCTION**
 - **REASON FOR SUCH DESTRUCTION**
 - **NAME OF WITNESS OR WITNESSES PRESENT DURING DESTRUCTION****

CENTRAL OFFICE FOLLOW-UP PROCEDURE

- **MEMO TO OFFICES 60/90 DAYS AFTER
CONTROL DATE**
- **MEMO TO REGIONAL OFFICES WHEN
NO RESPONSE AFTER 30 DAYS**

WHAT IS TO BE CONTROLLED?

- **TOP SECRET/SECRET BY INS**
- **CONFIDENTIAL BY THE SERVICE AND ANOTHER AGENCY**
- **ALL FBI AGENCY REPORTS**
- **ALL POSITIVE RESPONSES TO SECURITY CHECKS RECEIVED FROM FBI/CIA**
- **MATERIAL OF AN INTELLIGENCE NATURE RECEIVED FROM FBI**

The current administration has placed great emphasis on the protection of national security information. Security is a very important and sensitive area. Judging from recent headlines, the price for access to security information by improper sources can be high--likewise, the penalties for granting inappropriate access can also be quite high. I believe I recently read, in conjunction with the Walker case, of cries for the death penalty for espionage--the stakes can't get much higher than that!

Many of us have responsibility for working on FOIA/PA requests or supervising that activity. A number of FOIA/PA requests involve classified records. Now, as you know, the FOIA and Privacy Acts are primarily concerned with the release of copies of records to the public. Obviously, this provides us with many "golden" opportunities to commit security violations. For this reason, many have called for the repeal of the FOIA. In fact, the most recent change in FOIA legislation was the exemption of Central Intelligence Agency operational files from access.

The area of gravest concern is that we will disclose information that identifies an intelligence source, and thereby, endanger that person's life. Another major concern is that we will lose other government's confidence in our ability to retain information provided in confidence.

Of course it is possible for either of these errors to occur. However, the FOIA and the Privacy Act both recognize the serious need to protect national security information. The first exemption of the Freedom of Information Act is exemption (b)(1), which allows us to exempt records which are authorized to be kept secret by Executive Order in the interest of national defense or foreign policy (classified information). Likewise, the first specific exemption of the Privacy Act adopts the (b) (1) exemption of the Freedom of Information Act.

The authority contained in the exemption is useless without proper diligence on the part of those of us handling the material. I will take a few minutes to cite the five most common errors I have noted in handling FOIA/PA material.

(1) First, transmitting classified material without marking the unclassified transmittal document, with the classification of the highest classification of the material attached. It must be marked, additionally, with a caveat that it is unclassified when removed from the attached enclosures.

(2) The second major oversight is in the failure to also mark the file copies of transmittal letters with the classification. Occasionally, the copies of denied material are transmitted to the CO and region, without marking the transmittal letter (usually a file copy of the response letter). This error occurs largely because the original response letter was not classified since the classified material was denied.

(3) A third, and often difficult error to recognize, is disclosure of material that is derivatively classified (or ought to be). A prime example is the case of a file that

FBI report and the "unclassified" extracts from the INS report that are derived from the FBI all be referred to the FBI for them to determine the propriety of classification and/or disclosure.

(4) Another area that can have serious implication for certain agencies is advising a requester that classified material is being referred to another agency and telling the requester the name of the agency. Executive Order 12356, Section 3.4, requires prior consultation with another agency before telling a requester that records have been sent to that agency. In some limited situations, the mere knowledge that a certain agency has related records on a person may compromise intelligence sources or activities. INS Form G-734 states that the agency has 30 days to notify us whether we may inform the requester that a referral has been made to their agency.

(5) When processing requests that involve classified material originated by INS, prior to denying the material under exemptions (b)(1) or (k)(1), the material must be reviewed by the original classification authority to determine whether it should be declassified, downgraded, upgraded, or classification is still appropriate. Whenever such material is involved in an FOIA/PA appeal, the material must be reviewed by the Department Review Committee of the Department of Justice as a further review to determine the propriety of classification.

Finally, in addition to the FOIA and Privacy exemption to withhold classified material, there are other exemptions that can be used to withhold material that has sensitivity but does not quite qualify as national security information and cannot be classified. Most notable are exemptions which may be used to withhold the identity of confidential information or sources: exemptions (j)(2), (k)(2), (k)(3), (k)(5) of the Privacy Act and exemptions (b)(2), (b)(5), (b)(6), (b)(7)(C), (b)(7)(D) and (b)(7)(F) of the Freedom of Information Act. All exemptions that may be applied when necessary to protect legitimate sources of sensitive information.

Therefore, if properly administered, FOIA and Privacy need never be the source of a security compromise. But it is up to each person involved to make certain that it does not happen to you!

Loretta Shogren

At last year's conference, Ms. Shogren spoke on the responsibilities and plans of the Office of Policy Directives and Instructions (PDI). This year, Ms. Shogren addressed what has been done since then, as well as continued plans for the future.

The staff in PDI serves INS by providing quick and easy access to laws, regulations, operations instructions and the Administrative Manual. While originating only a small portion of this material, PDI controls the publication of all of it.

In the past year, PDI prepared and published 2 new sections of the Administrative Manual (AM). The first new section is called the Organization Manual and contains the Structure, Responsibilities, and Administrative Authority. PDI pulled together material found in various places to provide one source of information on the INS organization. This manual was published on January 22 and is located in Section 1000 of the Administrative Manual, as AM 1010 through AM 1014. There is room for growth and improvement, but these sections of the AM establish for the first time a means to provide this information to the entire Service.

The second new publication, in Section 1100 of the AM, is called Policy Statements. These policy statements are intended to provide a single, organized, and easily accessible compilation of high-level INS policies for the guidance of personnel throughout the Service. Publication of the Policy Statements, as part of the INS directives system, provides a means whereby policy guidance can be revised or canceled, as changing needs of the Service require.

As an extra job, the office has prepared, published, and distributed a newsletter for Information Systems called INFO. INFO is published quarterly and contains articles about news in all the divisions of Information Systems. There are always articles on Records and Information.

Another responsibility of PDI is forms control and design. The Form I-94 has been redesigned, and 8 of the most frequently used public-use Adjudications forms are currently being redesigned. This is part of Priority II--to improve the image of the Service. The forms are being redesigned to:

- make them easier to fill out by the alien;
- give clear instructions;
- make them easier to use by the Service; and
- improve data entry for the automated systems.

Better forms will:

- save money and time that can be used in other ways.

DIAS

The major effort of PDI has been the design and development of an automated system, Directives and Instructions Access System (DIAS).

DIAS now includes every word in the hard copy of the "Law Books."

This includes: the Act, 8 CFR's, Operations Instructions, Interpretations, and pertinent sections from other agency CFR's. These have all been placed on a data base. The data base is on the main computer in Washington and can be accessed thru CICS by terminals throughout the country. All you need is a CICS password and a terminal that communicates.

What is DIAS?

DIAS is an easy to use data base system which provides direct access through a terminal to all of the pages of the current Law Books, including a history of revisions. It also contains a message feature which will alert the user to all changes made to the Law Books and any proposed changes. In the near future, the Administrative Manual will be added to DIAS.

Through DIAS, the process of thumbing through pages to find information has been automated. The basic structure of the Law Books remains the same and includes the Immigration and Nationality Act, Title 8 of the Code of Federal Regulations (8 CFR), pertinent sections of other CFR's, Operations Instructions and appendices, and the Interpretations of the Nationality Act. All text currently in the books is now on the system. Employees familiar with the books already know a lot about DIAS.

DIAS was developed to allow PDI to get changes to the Service immediately and provide a way to quickly find information.

Searching for Data

There are two ways to reach the information you want from the Law Books. The first, called "structured" search, is similar to looking at the page heading of your books. You simply ask for 8 CFR 337.1 or any other Law Book reference. The second method, called "unstructured" search or "keyword" search, is similar to looking up words in an index. You simply ask for words like "oath" or "allegiance."

Experience Doesn't Count

Regardless of previous computer experience, DIAS allows easy access to information. The system has been designed to "talk" to the user by displaying messages and instructions (in regular English) on the terminal screen. The user can "talk" to the computer by typing in your answers and requests.

A DIAS manual has been written that provides an introduction and sample sessions. Everything the employee needs to know to operate and take advantage of DIAS is in the manual. PDI expects it to be handy reference guide for everyone who uses the system.

A Word to New Computer Users

Part of human nature seems to be a fear of the unknown, or at least, a certain uneasiness when confronted with new tasks. This is particularly true when it comes to computers. Computers have evolved so rapidly that even people who have been in the computer profession for years can feel left-behind. (And it certainly doesn't help that grade school children are becoming computer wizards.) Matters are further complicated by computer jargon which often appears to have no corresponding meaning in real life. DIAS is designed to use everyday language for people with little or no previous computer experience.

DIAS Is Interactive and Online

A computer system is said to be interactive if a back-and-forth, question-and-answer transaction takes place. DIAS will "talk" by displaying messages and instructions (in English!) on the terminal screen. The user talks to the computer by typing in answers and requests. DIAS provides easy-to-understand instructions on each screen. A system designed in this manner is said to be user-friendly. Very often the user is asked to select one activity or set of information from a list of options. Such a list is called a menu.

In addition to being interactive, DIAS is an online system. This means that the information that the user and the computer send to each other travels by way of telephone lines. The user can actually pick up the telephone, dial a telephone number, and put the phone into a modem on the computer. Or the terminal might have a permanent cable hook-up which provides access to the main computer located in Washington, D.C.

An online system, however, would not be effective if the computer could "speak" to only one terminal at a time. Fortunately, the computer is capable of "speaking" to a great many terminals simultaneously. However, it is possible that the computer will be too busy to handle every request, though this should not happen often. When it does, please wait a short while and try again.

Those bewildered by computers and computer terminology should take consolation in the fact that a great deal of computer work can be accomplished by people who know virtually nothing about computers. In fact, most computer systems, including DIAS, can be operated by people with no computer skills. The screens for DIAS have been designed to tell you what to do at each step. There are also "HELP" screens to provide any additional information.

DIAS text or data does not appear in the system by magic, it must be keyed into the system. All the current pages of the Law Books have been typed or "keyed" to magnetic tape. The tape was sent to the Department of Justice Computer Center to be processed.

new information is keyed into the data base, the old copy will still be available and will serve as a historical file for changes. The Office of Policy Directives and Instructions is responsible for updating this system as changes occur.

How is DIAS better than using little black books?

Changes can be made overnight, rather than 6 to 10 weeks later, so the information is current.

The "message feature" says what has been changed. With a terminal, employees will not need to file all those pages (about 400 a year) in the books; and finding information will be faster.

Last week, the Office of General Counsel proposed revisions to 8 CFR ... "Motions to Reopen." By using a DIAS Key Word Search, all the sections in the Regulations and Operations Instructions that would be affected were found in about 1 minute, simply by asking DIAS for all occurrences of Motion in the same sentence as Reopen.

DIAS not only increases the speed of updating information or data, but decreases the time and energy spent in searching for information.

This system has just gone into production. After about 6 weeks of training at the Central Office, key field people will be trained.

As soon as terminals are available at your location, you can request a CICS password, receive a manual, and start to use the system.

The DIAS System is only one of the many ways the Service is modernizing its operations. INS must use modern techniques to accomplish its mission within the budget and manpower restraints of the Government.

Facilitator: Norma Johnson

Reporter: Mary Abrell

This workshop was conducted to give participants an opportunity to raise questions, present problems, and offer exemplary practices relating to INS operation. The comments and responses were provided by the participants.

1. ADP - Security Clearance and Passwords: Clearance takes too long, sometimes over a year. Although we are told the clearance does not have to be completed before a password can be given to personnel, a background investigation is required in many cases. Too many employees still do not have passwords. Field needs a guide sheet for security and passwords. Document your problems, and send them to your Regional Security Officer. Do not allow others to use your password.

Q. Why can't the same password be used for all systems?

A. We agree with this concept and it will be pursued.

2. How can one enter a Revoke status into MIRAC, for example, when an LPR has his status revoked? Also, when naturalization or certificate of citizenship status is lost, how does one get the certificate number out of the computer or enter something to show the loss of citizenship?

A. There is no transaction in the Central Index System for an LPR when their status has been revoked. A subsequent action will reflect their current status in the CIS Status/History Maintenance transaction. The expatriation transaction will update an individual's record when their naturalization/citizenship status is lost. The C-number is never removed from the CIS. The CIS Status/History Maintenance will reflect their loss of United States citizenship.

3. Has any new policy been set or considered for retention of N files? Shouldn't it be changed to 10 years instead of 5 years as it is now?

A. Adjudications will be asked to address this question.

4. Mail sent to CO and never arriving: Many times mail sent to CO with code names such as P10 is not routed to the proper office as the CO mail room does not know the codes.

Put down the full name, title and room number. FCO's need a new listing of titles and room numbers. In one case, 361's correcting city information in MIRAC were returned to FCO without explanation.

A. See Administration for current listings.

A. Specific copies of wires will be addressed to Records.

6. Can't G-641'S be sent to CO when naturalization occurred prior to 1956? How are G-641's controlled in CO?

This matter is under consideration. Stronger policy and directive should be issued on G-641. Ed Lyle stated that the G-641 is being revised. A draft was given out; please give comments to Russ Powell or Ann Dunlap.

7. There is a problem with having to retire files to FRC due to overcrowding, then immediately having to request them back to the district. An INS Records Center should be considered as an interim prior to retirement. A statement from CO is needed to the effect that only Records can request files and FCO's must respond only to Records in order to control files.

8. There is a problem with CO keying wrong information into MIRAC from naturalization stubs or I-157's.

A. This problem has been corrected. Any problems should be forwarded to Bill Polli with specific concerns.

9. Student School System:

Q. When we get an inquiry with only the name and date of birth without the admission number, it can be very difficult to get information. Sometimes the name at hand isn't exactly like the name in the system.

A. This system works like the reverse of MIRAC; it responds better to limited, accurate information. Use the last name and date of birth only.

10. Refugee files in MIRAC stay in Vienna or Rome months after entry.

Currently, the NYC office must get packets out to the field as soon as possible. Do not send G-360's to Vienna or Rome.

11. What is the status of "all cash and money order" theory?

A. Jim Duell states it does not seem to be as big a problem as first thought; only approximately \$20,000 is lost (unrecovered) annually. ACS has a feature that will show when a bad check has been received so that application acceptance can be held up if necessary.

12. Is there a student "alpha" any longer? Who keeps student "alpha"?

A. There is no student "alpha" anymore (except the pre-August 83). Send "alpha" to London, Kentucky.

soon get a receipt.

15. Tape transcription of form tapes are a problem in most offices. The solution may be a contractor, the Tiger Team or another section helping with transcription. A cost estimate and specifications are being done for a contractor, who may also answer correspondence and make up packets. The contractor will be bilingual.

16. Offices are overwhelmed by I-130A's.

A solution would be to put them into MIRAC like the 80 million's; create on every file; or create on aliens in U.S.

17. The National Records Center will not replace the Federal Records Center.

18. What is the disposition of IAP66's?

A. Matter will be investigated and guidance provided.

19. FBI rap sheets are often useless since many times no date of birth or a number appear on sheet. FBI needs to put the DOB and A-number on rap sheets, and INS personnel need to be sure fingerprint cards are completely filled out.

20. Currently, consolidation cannot be done from field. Future CIS enhancement will enable file consolidation updates to be performed by field offices.

21. Does Records have responsibility to send I-130's etc. to RAC? CO should give precise instructions.

A. Precise instructions are pending final coordination between Region, Adjudication, and Records.

22. Offices need more ADP equipment. Is replacement just one-for-one without additional equipment?

A. It depends on what offices asked for. The plan is to give offices what they justified as needed. Hopefully, this equipment will be available very soon to FCO's.

23. G-360's: No response from FCO's.

A. Consistent response is already outlined, and will be addressed again in the National Records Priorities.

Q. Could a few days or a week be set aside to only handle G-360's?

A. No, it would only cause other backlogs to occur.

24. What happened to the suggestion about a sleeve with a pocket to place on the shelf until file is obtained?

26. Be discriminate in giving out information. When you get an inquiry on an alien card, don't say that Arlington, TX is processing the card because applicants wind up in the Dallas District Office. The card facility is a secure office that does not answer inquiries, and since Dallas is the closest office, they get the calls.

27. Consider the possibility of replacing the use of G-361's to forward data input information to the Central Office, such a list including the necessary data elements. G-361's are very time consuming.

28. Is there a new FTS phone book?

A. FTS directories are published annually. See your Administrative officer.

29. Deletion capability should be better controlled.

A. We agree.

Facilitator: Irvin Klavan

Reporter: Jim Carson

The FY 86 priorities have been documented and incorporated into the RSD Workplans. The priorities, incorporating those of the Commissioner and the Record Systems Division, were divided into four categories:

- General;
- Records Program;
- Information Program; and
- Quality Assurance Program.

Exhibits A-D list the priorities for each of these areas. Specific points that were emphasized during the presentation and/or discussions are listed below.

General

- Improving the image and professionalism of the Service is a mandate straight from the Commissioner and is a critical element of every supervisor's work plan.
- Automation and new projects can create increased levels of responsibility for certain positions. This would enhance professionalism, and one goal is for this to be reflected in grade levels.
- The budget is presented for review and approval by John Murray and the Deputy Commissioner's Office. Last year a total of \$4 million was requested in excess of allocated resources. Half this amount came from delaying a new project and the other half was cut from the regions. Budget requests must have **supporting documents** that thoroughly explain and justify needs. Simply stating that "x" amount of dollars is needed to do "y" will not suffice. If this occurs, it will only make it more difficult to support budget requests.
- Studies are currently being conducted to develop guidelines for the implementation of ACS/FARE Systems. Specifically, should the manual work flow process be changed in the Information, Records, and Travel Control units to more efficiently accommodate the new automated ACS/FARE Systems? A joint team including Records, Information, Adjudication, and Travel Control personnel analyzed operations in Chicago and will be submitting a report shortly. Preliminary indications are that the Contract Reps will continue to have a major role and that the changes will focus on the mail room. Chicago is tentatively scheduled for a pilot implementation of ACS/FARE in January, 1986. The study team will go to New York to perform a similar analysis of "what we are doing now."

- Guidelines are needed to expedite the return of A-Files to the Records Unit. Some are more guilty of nonreturn than others: D & D; trial attorneys; Investigation, etc. Washington District Office uses Green Sheet Controls.
- A Project Group consisting of Enforcement, Examinations, and Records representatives has begun the initial steps to formulate precise guidelines for what should go into an A-File. If necessary, this group will be thrown into a closed room and not allowed exit until they have formulated such guidelines.
- The new Central Index System will identify where records are and will have the necessary data to complete the 0F11. This is done manually and is not automated in any other Federal agency.
- A study group charged with the task of designing a balanced adjudication system is attempting to answer:
 - when does the 10-day clock start running?
 - is a file needed for every application? and
 - what goes with an application (if anything) when remoting.

Remoting will be done by Records and not by Travel Control.

- Forms will be redesigned so that the public can send applications directly to the RAC. Questions remain as to what the RAC will need, and how they will get it, to process the application. This will be conducted as a test in the Eastern Region.
- Problems in the CO mailroom have been acknowledged and steps have been taken to increase efficiency while decreasing the current \$4 million per year expenditures.
- Adjudication has agreed that remoting is a Records function; it should be reallocated to Records, and one additional benefit would be an increase in their professionalism.

Information Program

- There have been numerous complaints of the districts not answering phone calls. Ninety-nine percent of the calls to CO are long-distance complaints about not being able to get through to their district. A "24-hour ask immigration" service has been available in Charlotte, NC, and Portland, OR; both offices previously lacked the resources to answer their phones.
- The curriculum had been designed for a senior contact representative training course, which will be scheduled at Glynco later this year if space is still available.

- The new Quality Assurance Program is designed to optimize the timeliness and quality of data collection and data conversion and to improve the overall quality of the automated systems data cases.
- With the acquisition and distribution of major quantities of new computer terminals/computer systems accessibility, a quality assurance awareness program will be instituted for field offices.
- Quality Assurance reviews will be made of the Central Index, Detention and Deportation, and FOIA/PA Tracking systems.

RECORDS & INFORMATION

FY 1986 PROGRAM PRIORITIES

GENERAL

- IMPROVE THE IMAGE AND PROFESSIONALISM OF THE SERVICE
- REVIEW FIELD RECORDS & INFORMATION ORGANIZATIONAL STRUCTURES, STAFFING, POSITION DESCRIPTIONS, GRADE LEVELS
- CONTINUE G-23 AND AUTOMATED REGIONAL RESOURCE ALLOCATION PROGRAM ENHANCEMENTS
- ESTABLISH RSD FIELD MANAGEMENT INFORMATION REVIEW SYSTEM (PRODUCTIVITY, BACKLOGS, STAFFING, PROBLEMS AND ACCOMPLISHMENTS)
- IMPLEMENT FORMAL RSD REVIEWS OF RESULTS OF RECORDS MANAGEMENT TEAM FIELD EVALUATIONS
- DEVELOP/ISSUE FORMAL SERVICE GUIDELINES FOR REGIONAL OFFICE ANNUAL SUBMISSION OF BUDGET EXECUTION BACKUP JUSTIFICATION DATA
- PARTICIPATE IN JOINT ADJUDICATIONS/RECORDS PLANNING/IMPLEMENTATION OF PILOT ACS/FARE SYSTEMS, CHICAGO DISTRICT OFFICE
- FRAUD TRAINING PROGRAM

RECORDS PROGRAM

VE FILES ACCOUNTABILITY

UBLISH AND IMPLEMENT NATIONAL FIELD RECORDS WORKLOAD PROCESSING
ITIES PROGRAM

ADJUDICATION PROJECT DESIGNED TO MINIMIZE FUTURE ESTABLISHMENT
PLICATE A-FILES

ABLISH RECORDS MANAGEMENT REVIEW TEAM

GUIDELINES FOR EXPEDITING OPERATING UNITS RETURN OF A-FILES TO RECORDS

ULISH JOINT CO/REGIONAL EXAMINATIONS, ENFORCEMENT, RECORDS SYSTEMS
ECT GROUP TO DEVELOP SERVICE POLICY ON SPECIFIC DOCUMENTS AUTHORIZED
LACEMENT/RETENTION IN A-FILES

ARCH FEASIBILITY OF AUTOMATING INS FILES RETIREMENTS AND RECALLS FROM
AL RECORDS CENTERS

EXAMINATIONS/RECORDS SYSTEMS STUDY GROUP TO DEVELOP SERVICE
Y CONCERNING SPECIFIC RECORDS NEEDED BY ADJUDICATIONS TO ACCOMPANY
TYPE OF APPLICATION/PETITION TO BE REMOTED (IN DISTRICT, RACS, POE'S)

CIPATE IN EASTERN REGION ADJUDICATIONS CENTER DIRECT MAIL TEST
HER DEVELOPMENT OF SERVICEWIDE MAIL MANAGEMENT PROGRAM

CIPATE IN PLANNING FOR A PILOT RECORDS CENTER

LOP RECORDS SUPERVISOR TRAINING COURSE

FY DISTRICT OFFICE RECORDS VS TRAVEL CONTROL REMOTING RESPONSIBILITY
RMINE WHETHER PRESENT 75 YEAR RECORDS RETENTION PERIOD FOR INACTIVE

INFORMATION PROGRAM

INSTALL, TEST AND EVALUATE 24-HOUR UNATTENDED TELEPHONE
LIST OF TAPED ASK IMMIGRATION SYSTEM

DETERMINE FEASIBILITY OF ESTABLISHING A SINGLE CONTRACTOR
TO PERFORM SERVICEWIDE PUBLIC FORMS TAPED TRANSCRIPTIONS
AND DISTRIBUTION SERVICES

EVALUATE NEED FOR AUTOMATED PUBLIC CORRESPONDENCE
TRACKING AND RESPONSE SYSTEM

ESTABLISH A SOUTHERN REGION TELEPHONE SERVICE CENTER (IF
FUNDS ARE AVAILABLE)

DESIGN NEW CONTACT REPRESENTATIVE UNIFORM

ESTABLISH SERVICEWIDE ASK IMMIGRATION TELEPHONE
MAINTENANCE CONTRACT

SCHEDULE SENIOR CONTACT REPRESENTATIVE TRAINING COURSE

QUALITY ASSURANCE PROGRAM

- COMPUTER DATA BASE REVIEWS: CENTRAL INDEX; DETENTION DEPORTATION, AND FOIA/PA TRACKING SYSTEM
- REVIEW QUALITY, TIMELINESS AND EFFICIENCY OF NIIS/IMDAC DATA COLLECTION, DOCUMENT CONTROL AND RELEASE PROCESSES AT SELECTED PORTS OF ENTRY/DISTRICTS
- DEVELOP FORMAL SERVICE SURVEILLANCE/FEEDBACK PROGRAM USER ACCEPTANCE OF AUTOMATED SYSTEMS
- ON-SITE REVIEWS OF NIIS/IMDAC CONTRACTORS QUALITY CONTROL PERFORMANCE (DATA COLLECTION DOCUMENT CONTROL, DATA CONVERSION)
- DEVELOP SERVICEWIDE DATA ENTRY QUALITY ASSURANCE AWARENESS PROGRAM
- IMPLEMENT INS QUALITY ASSURANCE MANUAL
- DATA ENTRY QUALITY ASSURANCE REVIEW AT SELECTED DISTRICT OFFICES

Facilitator: Pat Salazar

Reporter: Linda Ianni

Field Resource Management, the utilization and development of available resources, is a necessary tool in INS. INS employees are oftentimes called upon to "make do"--restructure or redirect the frequently limited resources that occur as a result of the ever-changing conditions of the Service.

For example, the FY 86 priorities for Records and Information include:

- Courtesy and professionalism;
- Records accountability;
- Establishing a national field records workload processing priority system;
- Fully accommodating new computer systems; and
- Undertaking a comprehensive servicewide review of Records and Information organizational structure, staffing and grade levels.

All of these areas are directly affected by INS' ability to train, develop, and efficiently utilize manpower to its fullest extent.

This workshop encouraged participants to voice their concerns and suggestions. In particular, attendees were asked to share ideas and methods to:

- develop new training approaches,
- enhance training that is currently available, and
- encourage others to strive for excellence in the workplace.

In all three workshop sessions concerning Field Resource Management, the concerns, as well as the recommendations, were the same with few exceptions.

Major Concerns:

- Training;
- Low opinion many service employees have of Records personnel; and
- Reclassification of grade structure.

- A Records Handbook, much like the ones the Contact Representatives currently have, to be used by all district office Records personnel, and/or to be used in conjunction with on-the-job training.
- Formalized training at sites such as Glynco. There are such training sessions for all units except Records personnel. It seems that the only training which Records personnel are offered is better office skills. Or: If it is impossible to have such courses at Glynco, then establish a program where a training officer could travel to a central location in each region each quarter for the purpose of a formal training session for Records personnel.
- Reclassifying positions and rewriting position descriptions in accordance with OPM standards.
- Uniformity in grades/positions from region to region and district to district.
- Establishing a task force to develop formal training programs for Records personnel.
- Video training sessions.
- Developing a program whereby a full-time Records person would cross-train attendees at future Glynco sessions much like the other units do.
- Extension training courses. Why does it take so long from request to receipt of such courses? It was stated that several years ago these courses were going to be rewritten. Has that been done?

Attendees felt that the INS Southern Region should be emulated in its successful efforts at upgrading personnel. The Southern Region positions were upgraded by reclassification and rewriting position descriptions. Clerk typists in the Transfer and Creation unit are now data transcribers at the GS-4 level. Personnel must submit a new SF-171 to see if they qualify for the GS-4 now, or how long it will take before they do qualify for the upgrade. Mail clerks are now application clerks in the Mail and Communication unit at the GS-4 level. There is also a teletypist position at the GS-5 level currently vacant.

Recommendations to District Offices:

- Establish district manuals on all Records functions.
 - Denver and St. Paul have such manuals, providing step by step instructions on how to process each and every application from receipt to completion by Records personnel. They include instruction in the G-23, as well as what COENF or COREC means.

- Have all new personnel, regardless of the position they fill, spend time in the Records section learning the various Records functions. This should help improve the erroneous image Service personnel have for Records. Try to re-educate current Service personnel.
- Cross-train personnel--people need to know what the basic functions are of other units and how they relate to Records. If possible, have officers from other sections give informal instruction in these areas.
- If at an ASK Immigration site, utilize the tapes developed for new personnel.
- Finally, provide on-the-job training.

further comments on training:

- In offices where jobs are very specialized, it wouldn't make sense to have a structured central training program since a good portion of the employees wouldn't need many of the skills presented.
- A disadvantage of a training period is that offices often can't afford time without an employee.
- An advantage of training in the field is its timeliness, whereas a training manual may quickly become outdated.
- A preface to the 2700 manual could possibly eliminate the need for another handbook. However, its index must be improved because it is extremely inadequate. The table of contents must be revised, Kay Carver points out, as it is inaccurate.
- Remember to project support and a positive attitude to personnel.

The ideas raised in this workshop were presented to the Central Office as areas which need further action.

Wednesday, July 17, 1985

What we're going to do this morning is spend about an hour showing our entire ADP program. The presentation you're about to see is the same one I gave to Congressman Mazzoli and his staff on Monday, which is why I was not here. What we're going to do here is try to use ADP technology to even give the presentation. This presentation we've been involved in for the last month and was done by Tom Perelli back there, who is a college student. Well, I don't want to take any of the blame for this, it's his fault. Now, Bertha Garden here, my assistant, will help me on this. We tried to jazz up the opening a little bit. There is substance to this presentation. This is done on an IBM PC and then transmitted to the screen. What we're going to do first is go over the organization itself. We're not going to spend a lot of time on that but I think you want to see what the organization is like now and how it will help us to implement the various programs. Then we're going to do the systems portfolios: the mission systems, the business systems, and then the management support type of systems. And a part that probably you're very interested in is, how are we going to do all this and integrate it all? That's all the hardware and the software and the data communications systems, and Project Inform. Then we'll go into interdiction and follow that with Project Save and I'll even go over a little bit of the statistics that we have on, in fact, Telephone Services also.

Now, here's how we're organized. We have three main divisions, as you know, and we have also Policy Directives and Instructions and a core of 20 ADP Field Analysts. The reason we have Field Analysts is so that we can, in fact, have a pulse on what's going on out there in the field by having people who report directly to me. The Record Systems Division: I'm sure you're aware of that and I won't go into that in detail. The only new part of that is the Quality Assurance branch which should keep tabs to make sure that the systems developed by the ADP people have the quality of data that we do need in our systems.

Next we have the Project Control Integration Division. That's divided into four major branches: Database Management Branch, and the reason we have all of these here is that these are things that are not confined to just a data systems division. These are tools that can be used by the whole Service and should, in fact, be integrated. The Database Management Branch itself controls all the databases and makes sure all of the data items are, in fact, standard throughout the whole service in every system. So if everybody uses the same nomenclature for everything they do, and we keep them pure and clean by keeping them there, so that the data systems people will not take shortcuts in each of the systems, we will not end up with incompatible systems.

The Project Management Branch not only takes care of the ADP projects alone, but any large project, and so they are the ones who assist you, in fact, in managing your projects by automated tools.

Software engineering: we keep them separate anyway because they're a little flaky. They're our systems programmers types. I used to be one, but now I'm alright. They're

The Data Systems Division (and I'm sure I told you this last year but I'll tell it to you again); the fact is we tried to break out the mission systems, and concentrate on them, from the business systems and management systems. So the majority of our effort is in fact over there in the Mission Systems Branch because our whole goal is to supply systems that will support the missions of the Service and we are doing all of our effort almost on that. In fact, right now there is a new prohibition out not to change the business systems, because they want to integrate those throughout the whole Department of Justice. Now that may take a light year to do, but they don't want us to go ahead and evolve a lot of new systems in that area anyway.

The Technical Support Branch is getting more and more emphasis as we install more and more hardware because they in fact do control the data centers within their building and all of the terminals and all of the word processing staff.

The Communications and Electronics Support Branch is another growing area because our radio systems are in fact getting larger, getting many more portable and mobile radios out there and our telecommunications system is in fact one of the largest private ones in the United States, but that's getting a lot of emphasis too.

We will go over the Mission Support Systems, the Index Systems, and they consist of the Nonimmigrant Information System, and the Student School Database and the Central Index System. They are our largest systems as of now. Then we'll go into the Casework Support Systems. That's the real work that goes on out there in each of the districts in fact. That includes the Deportable Alien Control Systems, the Naturalization Control System, the Legal and Applications Casework System or Adjudications Casework System. That will be the largest system we will ever put up. We are taking out time with that to ensure in fact that one is done right. And, then my favorite one, Antismuggling and NAILS. We'll say a little bit about IMDAC. I know you are all familiar with that, and then we'll go into the Management Support Systems. That includes the DIAS system, which I think you would be interested in hearing about, the PAS System, which you are all familiar with, and then we'll at least go over VARS a little bit, our PACS and our FACS.

The purpose of NISS is to account for all the foreign visitors and diplomats and it did account for all the students too. Now its capability is to provide status on individual immigrants for tracking purposes. It does provide the only statistics available in the United States on arrival, departures, and destinations of foreigners. It has been operational since January of 1983. It has over 45 million records on it. It's one of the largest databases in the United States. It's capable of loading 625,000 records in a single day. I'd like to take time to explain that we took this long 2½ years ago and we only had one system up and that in fact was MIRAC. We were starting to do a new system. We attacked this one here to show the world, to show you people, and to show the rest of the Service that we in fact could implement a good decent system. We had a contractor doing it. We issued a "show cause." He was not doing well at all. We took the whole thing over ourselves, canceled the contract, and brought it inhouse. It created a lot of spirit. We operated it around the clock, 24 hours, 7 days a week, and got it to the shape it's in. Once we got it in shape, we farmed a lot of the work back out, but the idea is

we have on the database. It has been operational since August 1984. In fact, in Pennsylvania only 3 or 4 months ago, they asked us if they could use it to verify students who in fact should have student loans up against those who did not. They saved over 850,000 dollars on a one-day run we did by finding the legal students who, in fact, were getting grants who should not have.

Central Index System, as you know, is probably the biggest system that we have. That's MIRAC revisited. That will have--it's being loaded now--120 million records on 20.5 million individuals. It's theoretically a skeletal record of all aliens, all individuals of interest, to provide file location, immigration status, and biographical data. It's a pointer that we will use to all other automated records and other databases.

CIS has been developed, it is currently in prototype, and will be operational by the end of August, that's this August. It's taking a lot of time to load because of the 120 million records. You have to correlate all these and create indexes. We have been loading for the past 2 weeks. The loading will be completed on August 15. They have guaranteed me August 15, that it will be loaded, and therefore by about the first of September it will become available to you. Now, we have trained the trainers out there and I know there's going to be a lot of upheaval when we do go to it because you won't be as familiar with it as you are on the other one. It is user friendly, however. We do guarantee you good response time, so you will all have to go through this training or learning period of a new system and I'm sure we'll get a lot of calls on this one. But, it is the most important system we have ever put up because it will be the one that points to everything else. So, we want your patience, your interest, and your phone calls. We will do everything we can to ensure that the transition from MIRAC to CIS is as smooth as possible. It's our goal on this one to have 3- to 5-second response time. That does not mean that if DOJ is down, you're going to get response time. We think DOJ is starting to straighten up now because they've got all new disks and apparently are starting to work well.

Now, here's a Central Index data book on CIS and why it's so important. As you can see, we have that arrow that goes from the Central Index out to DACS, NACS, and Legal. I show that as a Ballantine beer sign only to show you that in fact there is a core of data within DACS, NACS, and Legal that is exactly the same and that core is the same type of data that will be fed into the Central Index. So if a new case comes in DACS, it's first entered in DACS and then the Central Index will be updated. If, in fact, you query the Central Index first, you may send that data and make sure it goes into NACS, DACS, or Legal or whoever or whatever system it should be in. On the Central Index screen, on the righthand side, it will show that in fact there is a DACS, or a NACS, or a legal, or an ASIS record out there. So, you will be able to know that they are. They will not automatically go to those systems yet. But there will be a screen that will allow you to see that there is data out there and then you have to sign onto that system in order to find the data. ASIS, I show separately because not every person in ASIS will be on the Central Index. The reason is some of that is in fact proprietary type of data and sensitive data that does not belong on the Central Index. Because, as you know, ASIS is the Anti-Smuggling Information System. Some of the data and some of the people will not show on this Central Index. The other half of that is the fact that the Central Index will point to the File Control Office and the File Control Office in

to and from the Federal Records Center. When we get these things out, we will have a lot more knowledge of the movement of files because we will store all that data--which files go where and when. And with that data, it will be much easier for us to determine which should be archived and where and what should be stored in a National Records Processing Center. That was the original idea--that we were going to have one. We don't know now if it's going to only be one. It might very well be that we will store the data on, maybe, a regional basis--like the RACS were organized. We don't know yet. The idea of a National Record Processing Center doesn't necessarily mean that it will be one center. We don't know yet. We don't know the efficient way. We've got a study on now, and we should know the answer to that probably by the end of this year.

The purpose of the Casework Support System is to support, track, and report on the naturalization, deportation, legal, and adjudication casework. The goal is to provide on-line, user friendly, menu driven systems. It does automate the production of various forms and reports from inception to final disposition. It also lists schedules of hearing in NACS. (Sometimes it doesn't tell the people that they should come. We're having a few problems with that in Chicago.) It does monitor the automated booking data of detainees, it transfers workload statistics which will help us with, eventually, our G-23, but in the interim it does know how much workload we can pass on to an examiner line. It compiles and monitors complex calendars for Legal staffs and integrates the deportation and relative legal proceedings that the DACS and the Legal System. The Legal System is an extension, in fact, of the Deportation System. The one thing that it does do is ensure uniformity within both the INS offices and the four systems themselves. The internal prototype, NACS, is operational in eight districts, which covers 30 percent of our cases in nationalization. DACS is operational in 11 district or service detention facilities. The new NACS, DACS and Legal are operational in the Chicago District Office; NACS is also operational in San Francisco and in Miami. ACS system is under development and in fact has been delayed purposely because what we don't want to do is overbuild this system to where it will be difficult for the user to use. This handles nine different forms, which I guess is 60 percent of the adjudication that it covers. But that's a tough thing to install on time, the automation of nine different ones, because as you know, adjudications has not been standard throughout the United States. Now, when you install a standard system you have to change the manual work and workload that everybody does. So its going to be a traumatic change when we do it and we're stepping very slowly with that because that is so important to the Service. Now, all these use the standard DBMS and are integrated with the Central Index System and the thing I'll mention several times is every system is available over any INS terminal. That's our goal and as you know, that's what we can do now outside of those who have the interim system.

This (ASIS) is my favorite system. The reason is that it's quite sophisticated. That system maintains an automated record of information related to alien smugglers and associated case-related intelligence information. We have 1.5 million pieces of information, not 1.5 million people, 1.5 million pieces of intelligence information. It contains data on phone numbers, addresses, license plates, names, and aliases, incidences, and related narratives. What that means is you can dial in a phone number, key in a phone number, if you have it on someone you suspect of smuggling. When you put that phone number in there, it will recall to you anybody else who might have used that

INS terminals. We are developing a companion fraud system for fraudulent marriages that will be operational in about January 1986.

As you know, last year I told you we had a thing called "the Service lookup" or SLOB. That was a terrible name. I don't know if this is any better, but I think NAILS sounds a little better than SLOB. Now you all know what the Service lookup is. What we did is we had it automated anyway, in all reality, because we kept the names. What we did is then print a list off the computer and send that list over to the Government Printing Office, and eventually they would do it and mail it out to the districts and then the districts would give it to the Ports of entry. How long do you think that took? . . . A long time is right. Approximately 3 months. So the data was in fact out of date! Well, being that we already had it on computer, what we did is put it on line, okay, which we thought would be a little faster. Now, it does permit the user to select any one of 17 types of inquiries. I don't know if you know what Boolean logic is but it's "and" and "or." So you put that name and date of birth, or name and date of birth or country of birth, so you have all these selections. This is why it's much better than like the text system where you can only put one thing in. You can decide on the information you want and the more information you want, the more precise it will be. It does retrieve information in 3 seconds or less. It also supports temporary emergency lookout and that's a big additive because, as I said before, if you want to put something on it before, it took 3 months or a telegram out. Right now what it does, is up on the seventh floor, they can key in the moment they get in an emergency lookout, and within 10 seconds of the time they key it in, it's available over every terminal in INS. It does automatic purge on expired lookouts, too. It does link aliases with legal names and supports the connection of individual lookouts to and from group lookouts, too. We do have comments on the data base. It does report stolen documents. You've got to have some fun. The system is in operation at secondary inspection in seven of the largest airports in the United States and, again, it's also available over all INS terminals. It's also in primary at the Baltimore airport. We're going to implement it in primary at the largest airports and Ports of Entry in FY '86, in fact in FY '85, as soon as the terminals arrive. We're going to expand the database to include the AVLOS; that's not done yet, but, the fact is, all we have to wait for is for AVLOS to be done. I'm not sure when they will be done with their new data. We also take the data from there and give that to text so the text database also has our lookout data. We are going to enhance it to include stolen and lost passports.

Now, IMDAC does provide timely, accurate collection and capture of immigrant data at one place. It collects and captures 350,000 visas and 275,000 adjustment of status cases. It does produce the data from one point, which is a big savings, for implementation of the Central Index System, down to the card facility and the statistical reporting facility. It creates and distributes in hard copy file for visas to field offices. It is, in fact, operational now and doing exactly what we want, what it is supposed to do. It has reduced the turnaround processing time for visas to 10 days, which I think is a monumental jump.

The ADIT Facility: It does produce very secure cards now and we are producing approximately 1 million secure identification cards each year. The card data for field access is provided through the CIS. It does produce secure identification cards for

equipment resources. That's the goal of the Business Support System. The Productivity Analysis system is probably the best one we have. It does automate the G-23. I'd like to take the time to tell you that 2 years ago or 2½ years ago, about January 1980, they were producing the 1983 G-23 statistics. Now, if anything would be more boring to read, it's some 3-year-old statistics on workload. It doesn't support you very well. So what we decided to do was to automate that so we can, in fact, have relatively easy access to current data. Right now it's about 45 days behind, so that you are able to see what was done 45 days ago rather than 3 years ago. That data is a lot more interesting because it's something you're interested in and it shows your performance only a little while ago. So people are much more interested in it. They become so much more interested in it, if it doesn't show up right they say, "Maybe we better change the type of data we captured." So there has been a lot more interest in the G-23 since we put it on line. It also has about 3 years of data in there now, which also shows you good trends of data. It's on a monthly basis, so you can, in fact, see the data. It does allow you to do simple tabulations to complex analyses. What we've done is make it graphical. The reason we have, is people don't want to read those 60 or 70 thousand pieces of information that we produce on a monthly basis. What we've done is put it on the graphs so they can see, say, your district as against the other districts in your region. If you see a data anomaly, something that's really different, then, in fact, what you can do is go and look at the details of the data. So you don't have to investigate each piece of data and you wouldn't read those big tabulations, but if you see a blip, you say, "Hey, I wonder why I'm good at NA or I wonder why I'm worse." Being worse does not mean you're worse, what it means is you may be doing things a little different and maybe it helps something else. The use of the graphs does help you a lot. Those graphs are on line to each of the regions, so the regions can produce their own analyses and prepare their own graphs. Eventually, the districts will have that same capability, so they can perform some of their own analyses.

The FACS system has been operational, I guess, since 1978 and records allocations and commitments; it does a standard accounting. It is run also at a regional basis. The Position Accounting System is basically the same type of system but it reports on the workforce by positions and personnel and payroll purposes.

VARS does account for our 3,600 vehicles and, as you know, that is growing because we did add a thousand agents and the associated equipment. I'm sure it will be over 4,000. It does contain a detailed record, including utilization cost and maintenance of each vehicle. Our plan is, of course, to convert the new equipment that will be arriving at the regions by the end of this year and get rid of the paper files. A lot of you didn't know this, but what we're doing is providing service-wide on-line access to the I&N act, the regulations, the OIs, interpretations, and Administrative Manual. We think this will be a big step because right now, I think we have 8,500 of them out there OIs and we have completed the design development and we are going to expand to other texts. I'm sure some of them have already been covered. I think we got a good response from some of the districts a few weeks ago, that they think this will be a big boom to them.

This is the part you're probably the most interested in. What we did was take what was going to be one integrated contract that would include software development, hardware, telecommunications, and integrations thereof and break it into pieces that we could

much better, diverse group of people. The other reason you pick five is the competitive thing. That is, in fact, if somebody doesn't produce on one task, he may never get another task. That is a big important thing. You don't want to be married to a contractor that you're stuck with. If you have five of them out there, it creates competition. If you change the task from one contractor to another because the other guy isn't doing very good, you attract his attention. Loss of revenue is a big thing to those people so that's why we did it also. That takes care of studies, analysis systems design, training, and testing. It's a 5-year umbrella contract. It was used for the development of almost every system we have done so far in the last 2½ years. They have also completed the design on ACS and they will also be programming that. It's a task organization type of contract.

The purpose of our hardware is to provide an integrated ADP and office automation. I want to stress that. These two are going to be a married approach which meets the needs of INS and allows future flexibility and growth. We want to make sure it has expandability in sizing for field offices, and ensures reliability of equipment and information, and it maintains the security and privacy of data. We also required when we selected the contractor that it would be compatible with Washington and Dallas parts of DOJ. It must use standard terminals. That was our criteria. Our first configuration was installed and operational on February 1, 1985. We also want to let you know that we installed another 405 terminals at 18 sites, with 22 controllers on it, on Easter Saturday; and that was done by INS people. Not Easter Sunday--they had that day off.

This is our basic architecture that we're trying to support. What that shows is we will have two support centers of DOJ, for redundancy. It's always good to have two to support our two largest systems. That's the NIIS system in Dallas and in Washington, D.C., basically we'll want to support the CI. In San Diego and the Central Office systems, the CO became operational 2 weeks ago. In San Diego, the dedication was done August 5. They will support the Case Work Systems. Then we'll have class 2, 3, and 4. They are the district type of systems. It will all be integrated. They should actually show here that everyone--you don't have to go through these here to get to those. You can go directly from here right up to here. You can also go from here over to there. It's all due to the INSINC network. That's our telecommunications center. That's how we're marrying it all together.

There is virtually unlimited horizontal and vertical expansion of the basic architecture. What we did is pick the equipment that can be expanded either way. In other words, we can make more sites or we can make one site larger. We can transparently add or delete the processors within the network and it will be invisible to you. It is a natural upgrade. If an installation is split, we can actually put smaller hardware in and you'll never know the difference. We do have a flexible operating system. It's called MBS. It permits expansion to the largest IBM systems that there are. It's easy upgrade, to triple processor capacities in the same footprint. The same footprint means the same floor space. But not only is it capable of tripling the size of it, I'm talking about the 4381 size, the bigger size that I said, but only 2 days ago it was announced that not only can we triple it but they just made a new version of it (that we can probably upgrade to eventually) that's four times as fast as what our upgraded one would be. So, we have about 1200 percent expansion on those machines. They are going from what is now

protection. That means we can protect data right down to the individual record. The invalid access is displayed and logged so we know who tried to make an invalid access. All 4381/MVS complexes are to be installed behind locked doors now, obviously, and there will be multi-level protection at the keys to include a key lock at each terminal. There's logical protection to sign on a password. All major equipment is from a single vendor (IBM); it eliminates interface compatibility concerns that we've had in the past. Equipment is designed for office installation without raised floors or special air conditioning.

They are remote operatorless host sites. Those that you will see in the districts, and that's called the System 36, will not need to have well-trained operators. They are easy to operate and a proven ergonomic design suitable for office environment. That means that the keyboard for your word processing is exactly the same as the keyboard for the data processing. Another thing you can do is the data processing. You cannot do word processing, but your word processing station will be able also to access every system in INS. It is menu driven. Not only with help displays, but they in fact have put the entire manual on the machine. So, there's 100 page manual stored on your machine, so when you need help on any command you can draw it right up and you don't have to go search through the book. I'd like to explain why we went to the distributor approach versus the centralized large processor only approach. The advantages of a centralized large processor is it's easy to control, obviously. And it does have lower operation and maintenance support costs, and maybe even initial lower costs. The disadvantage is you don't get the ability for local applications development, because it's too complex; and, not that we're trying to emphasize this, but you have in fact slow response time. You have limited growth and higher communications cost because everybody has to go to one site. The advantage of geographical and intermediate processors is the capability to distribute the databases closer to where the action is, rapid response time, and tailored applications to local needs. There is a lower communication cross because the data is closer to where the action is. The disadvantage is there is a higher initial cost. Now, there is a higher on-end cost unless sites can be remotely operated and maintained. We've ensured that. Even with our large San Diego site, there will be one person in the nation that will have what we call a "lights out" operation. A lights out operation means that it will be operated from Washington, D.C. So, the console for the San Diego machine is in Washington. We will have a few operators out there, three to be exact, that's not enough to cover 7 days a week, 24 hours a day, but in case we may want to dump things to Dayton and change the paper. So we have three operators out there, one at a time for about half of the time, and that's why there will not be a higher on-end cost. Now, this is a new concept. There's only a few people in the nation who have tried it and we do mean lights out. In fact, it is very lowly lit too. So you don't even need anybody at the console all the time out there.

Now, what we're going to show you is how various sized offices will look. We'll go first to the larger class one configuration. These two epitomize what we will have in San Diego and Washington, D.C., and that is we'll have the 4381 with all its disks tape. We will have System 3060. Now, these can be big or small machines. They'll be the big ones out there. Don't expand the 4381. The 4381 will have 16 million positions of core, and they will have in Washington, D.C. 10 billion positions of disks, and in San Diego, 15 billion. In addition, we have these little machines that range from 1 to 2 million

contain these same large size systems 36's, they will also have what is called a 3270 terminal just to control these types of terminals alone, and they will also have these to support office automation and ADP. I think almost every installation is getting about one of these if not more.

Now, Class 3 will have a smaller System 36 that may only have 200 million positions of disk or 400, plus a personal computer. Probably the majority of districts and border patrol sectors will have that type of configuration. The last type is Class 4 and we may not even need that. We may only need large PC's. But, what we have is what they call a Baby System 36. A Baby System 36 is about this size, about the size of a PC; however, it can have up to 32 devices on it at a time. They are very reliable. We've had them operating in our office, and while they were operating we rolled it across the floor and it still operates. They are very reliable. The mean time between failures is 2 years. We think they might be a little more reliable than what we have today.

They have integrated the software and communication right into the mainframe itself. There are alot of commands and you can use a mix of different terminals. In other words you can use ADP and office automation. You can go and do local ADP, you can actually do ADP on a PC or on the 36, or upgrade right into the large mainframe; a lot of good security features. We will be able to do the remote diagnostics. As I said, you can tie a PC into it. Right now, I'm going to step off for a few seconds and let Bertha give you the scenarios. She told me she didn't want to do them but I'm the boss--sometimes.

BERTHA GARDEN

What these scenarios are going to show are the flexibility of the equipment that we've got under contract and how it can be used in different scenarios in the district offices and airports. This is the host scenario that John told you about before, whereby we can do remote diagnostics from the main computer facility here in Washington, D.C. This slide depicts the Washington, D.C. console center in the central office building here, and thereby being able to go out to retain operator messages from this one console in Washington; monitor the INS Center that's going to be established in San Diego very shortly; act as a help desk for each of your terminals in your stations out in the district offices; and do remote diagnostics. All of this is done through the telecommunications notes that you see at the bottom of this line.

This scenario shows office automation functions and information retrieval from remote files being executed from the same work station. It shows an INS examiner being able to go through the INSINC network and access files from the Central Index here in Washington, D.C., or being able to access district offices filed through the System 36 machinery he showed you a few minutes ago; or being able to go into NAILS, either the master file or possibly in the future a downloaded NAILS locally. This shows the use of the Service Lookout Book NAILS provides: names, dates of birth, etc. We can download the master NAILS file to the local processor; check arriving passengers against the NAILS as they're standing right in front of you, and if found, sufficient information provided to allow contacting to the office for an A-file.

This walks you through the slide I just showed you whereby he picks up a group of illegal aliens, checking the databases and processing the runs. Another Border Patrol Scenario: it shows the point of entry scenario whereby the individual, standing right in front of the inspector, can be processed more quickly by an inspector at a terminal going into NAILS and such, entering names, date of birth, checking the NAILS database. Being able to do other IDMS functions--with the IDMS database system, it allows you on-line capability of the deleting, adding, and changing records right at the site.

MURRAY

The reason we can do everything we're doing today is due to the fact that we have a data communications network. It's the backbone of everything we're doing. In fact, it's true throughout the United States here today that progress in telecommunications has allowed us to do the majority of integration in work that has gone on in INS. We have dedicated bisynchronous and asynchronous communications to the Justice Data Centers and to all of our main offices. We also have access to other Federal and state agencies like NCIC, NLETS; we don't have TECS yet because we don't know how to communicate with them, and we are going to have ALVOS very soon. We currently have 114 sites online with dedicated service. We also have Dallas online obviously. NLETS and NCIC are online, and we have it operational about four places: Washington, Portland, Seattle, and a few others but it's actually going nationwide in the next week or two. We have converted this network to a private network; in other words, it's not a public net it is a private net. It's what we call a value added network. What that means is they're AT&T lines and the engines are supplied by a firm called Tymnet, but it's all for us. In other words, we own the lines per se. We're eventually going to upgrade the backbone to 56 KB. This is not too clear, but we have basically a 34,000-mile telecommunication network. The heavy lines there that you see are 19,200 bit per second lines. The other lines are 9,600. What this doesn't show is the rest of the network. What we have off of that to the other 112 sites is in fact what they call multi-drop lines. Those of you who are old enough might know what a party line is, well a multi-drop line is a party line. That means you have to share it. But at 9,600 bits per second it's even faster than the majority of you can talk. (Even you Kay.)

What we're going to show you now is the INS data flow. This is how we've designed it so we can get all of our data to and from everybody. We had to do this type of architectural design before you in fact design your system. We'll go and explain to you what we're going to do in each of these boxes which might help you. Now at the Dallas Data Center we are going to do NIIS: management support. Now at the Washington Data Center we are going to have the Central Index System. At the other agency databases, they include the NCIC and as you can see we accessed these databases: INTERPOL and National Law Enforcement Telecommunications Systems. And, hopefully TECS someday but we don't know how we're going to do it. Then, the other agencies--we're allowing SSA, in fact we're starting a pilot now to Social Security in California where they want access to what we call our SAVE-type of databases and also our NIIS databases. This is all new. We've never done this type of thing before. They will actually add terminals onto our system. Other agency inquiries include the State agencies, that will include Project SAVE; and other intelligence and law enforcement agencies will be allowed limited access to some of our various files. Now the INS

will be moved off of the large mainframe onto our own. You'll do all office automation for us. That means not only word processing, we're talking about electronic mail and management support. At the Region, there will be large system 36's to supply terminal support, office automation, and management support. Again, that's the FACS and the PACS. Plus, they should be allowed to do a lot of their local support systems that they currently have today and they will be given that capability. The district supplies, here's the difference, terminal support to access and update all the systems, local support, office automation, and A-File tracking. That's one of the big applications that's strictly district oriented.

Now, let's go into a little bit of Project Inform. We're going to skip through this very fast because I know Dan May is going to spend some time with you. What the purpose is, is to provide automated file accountability. It provides automated inter- and intra-office of the 22 million files in the Service. What's nice is instant update by a bar code. What we mean by a bar code is the same thing you have in a Giant or in the Safeway. Except it's not a product code. Files Accountability was completed in February of 1984 and was installed in the District Washington office as a prototype only. The files conversion is underway at all of these sites here. In fact, we have installed it in Chicago, in July. Dan will talk a lot about that I'm sure. We will be going into New York on September 24. We hope to do all of the major ones by the end of this calendar year. Then, we're going to retrofit Washington with the new system.

As you may or may not know, we were one of the first to have portable radios. We need a nationwide tactical radio system that we can go to to support our law enforcement activities. We were surprised that we were the first Federal agency to use mobile radios and we're the sixth largest in the government. We've gone as far as we can go with our VHF/UHF. So, basically what we're saying is we have got some microwave experience and we're going to expand it. This is a major program now. We spend about \$8 million a year on radio communications. The advantages of the microwave as you can see are self evident. The biggest one is the number of channels. You only have one under UHF/VHF. We have 24-70 under microwave. We will be able to communicate with other agencies. But, we can't now. There's no voice security but there is if you have it under microwave. More importantly, you'll see that there's no data capability but there will be under microwave; that's a big additive as you can see. Someday, we hope to get the terminals in the cars so, that they can just punch in a number in the car and get a response back. Another thing is under VHF/UHF, you can only go to the next sector where under microwave you can go all across the United States. What we're showing is how we have made the intrusion detection into a part of the overall INS Enforcement Data System. We can sense it on a sensor, an alert is on the screen back at the sector headquarters and from that same one, after the agent goes out, and it interdicts the person, he can call back in and from the same terminal we will be able to access ASIS, the Master Index, or any other of our databases. Our whole point is we're trying to increase the effectiveness of enforcement manpower through technology. We're never going to get enough people to go arm-in-arm at the border. So we have to use that type of technique. You're going to get a lot more than SAVE. The data that we do in fact can't get through inquiry. The only way you can get into it now is by A-File. Here's the process you must go through, formal request and memorandum. Some Eickbush will be going into these and these will all be in the hands of that you will

decide whether they should get the benefit. That's up to the state.

I'll have you know that Congressman Mazzoli was very interested in the productivity we have gained in service to the public. Ninety-two percent of all calls was solved with one call. Seventy percent of questions are answered by the 47 different tapes that we do have. Over 30 percent are automatically referred to backup representatives. It has quadrupled a number of calls handled per hour.

That's the end of our little show. We call it a dog symposium.



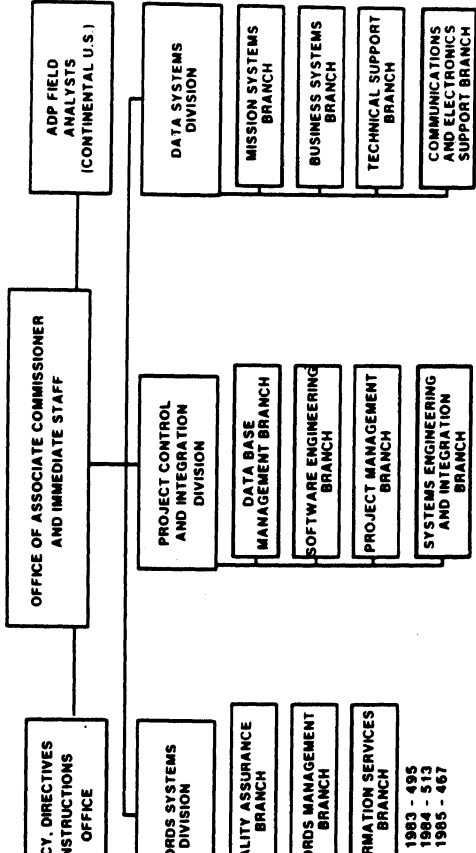
Immigration and Naturalization Service Information Processing Program

March 1985

Presentation Overview

- Information Systems Organization
- Systems Portfolio
 - Mission Support Systems
 - Business Support Systems
 - Management Support Systems
- Systems Intergration
 - Software Development
 - Hardware Acquisition
 - Data Communication (INSINC)
 - Project INFORM
- Interdiction
- Protect SAVE

Information Systems



1983 - 495
1984 - 513
1985 - 467

Systems Portfolio

Mission Support Systems

- **Index Systems**
 - Nonimmigrant Information System (NIIS)
 - Student School Databases
 - Central Index System (CIS)
- **Casework Support Systems**
 - Deportable Alien Control System (DACS)
 - Naturalization Casework System (NACS)
 - Legal Casework Tracking System (LCTS)
 - Applications Casework System (ACS)
- **Anti-Smuggling Information System (ASIS)**
- **National Automated Information Lookout System (NAIIS)**
- **Immigrant Data Collection (IMDAC)**
- **Alien Documentation, Identification and Telecommunication (ADIT)**

Systems Portfolio

Management Support Systems

Directives and Instructions Access System (DIAS)

Performance Analysis Systems (PAS) (AUTOMATED G-23)

Business Support Systems

Vehicle Accounting and Reporting System (VARs)

Position Accounting and Control System (PACS)

Financial Accounting and Control System (FACS)

Mission/Programs

Four Major Activities

Records Systems Division

Administers records information program

Record and file security and safeguards

Mail and correspondence activity

Automated telephone system information processing program

Data Systems Division

Designs, develops and implements ADP systems including word processing, electronic mail, telecommunications, radio and intrusion detection

Operational support of ADP and telecommunications systems

Mission/Programs

Four Major Activities

Project Control and Integration Division

Responsible for strategic planning

Provides database management expertise

Provides operational and technical training

Project management expertise and assistance

Systems/software support of INS application systems

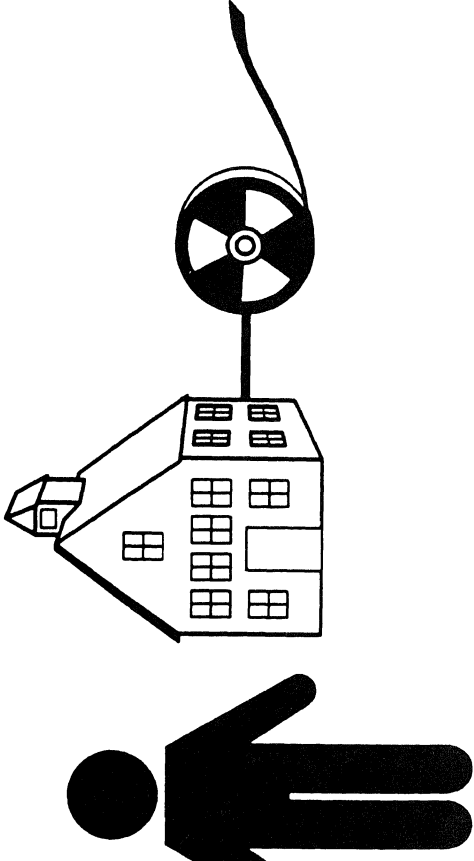
Office of Policy, Directives and Instructions

Responsible for the design, development, implementation and coordination of a comprehensive directives and instructions system to ensure completeness, timeliness, appropriate access and consistency to INS policy, standards, procedures and instructions

Nonimmigrant Information System (NIIS)

ose
ount for foreign visitors and diplomats
abilities
vides status on individual nonimmigrants for
acking purposes
ports on violators supporting enforcement operations
vides statistics on arrivals, departures and destinations
us
operational since January 1983
2+ million records currently on database
25,000 records have been loaded in a single day
eld office and other agency access via dialup or
edicated terminals with 10,000 file accesses per day

Student/School System (STSC)



Student/School System (STSC)

Purpose

- **To account for all nonimmigrant students attending schools in the United States**
- **Monitor school verification process**

Capabilities

- **Tracks over 600K students in 18K schools**

Status

- **The Student/School System became operational August 1984**

Central Index Systems

Purpose

Maintain a central repository of names and numbers of individuals of interest to the service

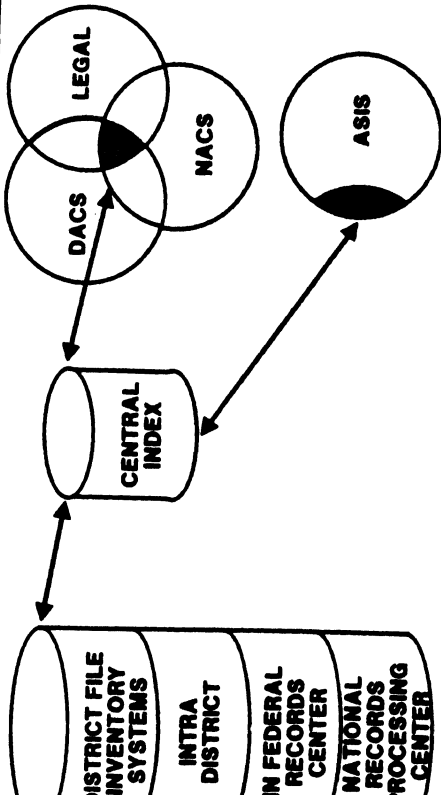
Capabilities

- **Skeletal records on all individuals of interest**
- **Provides file location, immigration status and biographical data**
- **Pointer to all other automated records in other databases**

Status

- **Replacement Central Index System (CIS) developed and in prototype**
- **Operational April 2, 1985**
- **Replaces the previous MIRAC system**
- **Flexible Inquiry with 3-5 second response**

Central Index Data Flow Concept



Casework Support Systems

Purpose

- Support, track and report on naturalization (NACS), deportation processing (DACS), legal case work (LCS), and adjudication casework (ACS).

Capabilities

- Provides online, user friendly, menu driven systems
- Automates the production of various forms and reports from inception to final disposition
- Produces schedules of hearings (NACS)
- Maintains automated booking data for detainees (DACS)
- Automatically furnishes workload statistics promoting optimum use of resources
- Compiles and monitors complex calendar for legal staffs
- Integrates deportation and related legal proceedings
- Assures uniformity within both the INS offices and the four systems

Casework Support Systems

atus

interim (prototype) NACS operational in 8 districts
30% of cases) and DACS operational at 11 district or
service detention facilities

Replacement (new) NACS, DACS and LCS operational in
Chicago district office

Adjudication casework (ACS) under development.
The first site, Chicago to open September 1985.

an

Uses standard DBMS Integrated with Central
Index System allowing bilateral access

Available over any INS Terminal

Anti-Smuggling Information System (ASIS)

Purpose

Maintain an automated records system on information related to alien smugglers and associated case-related intelligence information

Capabilities

Provides online access

.5 million records

Interfaces with Central Index

Contains intelligence data: phone numbers, addresses, license plates, names (and aliases), incidents and related narratives

Facilitates data correlation by investigators

Automatically notifies all interested parties of updates

Anti-Smuggling Information System (ASIS)

Status

- Operational and available from all INS terminals

Plan

- Develop companion fraud system by July 1985

National Automated Immigration Lookout System (NAILS)

Purpose

Provide online information for the detection of inadmissible persons and others of particular interest to INS and other law enforcement agencies

Capabilities

- **Permits user to select anyone of 17 types of inquiry**
- **Retrieves information in 3 seconds or less**
- **Supports temporary emergency lookouts through online add feature**
- **Automatically purges expired lookouts**
- **Links aliases with legal names**
- **Supports the connection of individual lookouts to form group lookouts**
- **Supports comments about individual of group lookouts**
- **Records stolen documents**

National Automated Immigration Lookout System (NAILS)

us

system in operation at secondary inspection
7 of the largest airports

cago

n Francisco

imi

w York

Boston

Seattle

San Juan

INS terminals have access to NAILS

lement in primary at 20 largest airports/ports of entry
and database to include AVLOS (State Department data)
ance database to include lost/stolen passports

Immigrant Data Collection (IMDAC) Project

Purpose

Provide timely, accurate collection and capture of immigrant data

Capabilities

- **Annually collect and capture data from 350,000 immigrant visas, and 275,000 adjustment of status cases**
- **Produce data for input to CIS, SRS, and ICF**
- **Creates and distributes hard copy files for visas to field offices**

Status

- **Currently capturing visas and adjustment data, updating CIS and SRS and forwarding I-89's with magnetic tapes to ICF**
- **Reduced turnaround processing time for visas to 10 days**

Alien Documentation Identification and Telecommunications (ADIT) Program

purpose

**provide secure alien identification documents and supporting data
to assist INS inspections, adjudications and enforcement activities**

capabilities

million secure identification cards each year

corresponding card data for field access provided

**produce secure identification cards for special INS
programs - Haitian refugees, legalization, etc.**

status

more than 5 million secure identification cards in use

corresponding card data available to field through central index

Business Support Systems

Purpose

Provide accounting and control of human, financial and equipment resources

Capabilities

Productivity Analysis System (PAS; also G-23)

- Performs simple data tabulation to complex statistical analysis**
- Provides graphical display of data**
- Provides summary data at four reporting levels: service-wide, region, district and office**

Business Support Systems

Liabilities (continued)

Financial Accounting and Control System (FACS)

Records allocations, commitments, obligations, accrued expenditures and collections

Reports by fiscal year appropriation, sub-object class, organizational entity, etc.

Position Accounting and Control System (PACS)

Reports on service workforce by positions, personnel and payroll

Records each position (vacant and encumbered) by unique position number

Business Support Systems

Vehicle Accounting and Reporting System (VARS)

- Supports planning, budgeting and management of 3,600 vehicles
- Maintains a record for each vehicle from acquisition process thru disposal
- Provides Information on Inventory, utilization, cost and maintenance

Status

PAS (G-23) operational since February 1983

FACS operational since November 1978, has GAO approval

PACS operational since August 1978, interfaces with DOJ payroll

VARS operational since February 1983

Plan

Convert obsolete equipment and processing to modern technology to accomodate future information processing requirements

Project Management Concept

use

**ublish a formal methodology to ensure that major INS
developmental efforts receive proper management emphasis,
tion and support**

bilities

establishes a single focal point of contact

carries responsibility with authority

udgets

chedules

esources

quires matrix management organization

Project Management Concept

Capabilities (continued)

- **Mandates formal project approval from initiation through first year of operation**
- **Uses techniques of:**
 - **Work breakdown schedule (WBS)**
 - **Pert/CPM**
 - **Complex networks**
 - **Graphic representations**

Directives and Instructions Access System (DIAS)

se

de service-wide online access to current I&N act,
ations, operations instructions, interpretations and
nistrative manual (including policy statements)

s

ign/development Completed

ansion to include other texts, such as handbooks, in FY 86

INS Systems Intergration

h

**ware development - teamed approach
ware/facilities management - distributed processing
communications**

ral computer support from redundant data centers

Software Development Support

Purpose

Provide system development resources

Capabilities

Studies, analyses, systems design, training, system testing

Status

Five year umbrella contract awarded November 1983

Developed and implemented STSC

Developed and implemented ASIS, NACS, DACS, and LCS systems

Completed design on Applications Casework System

Provides task ordering capabilities for multi subcontractor

Hardware

Purpose

Provide an integrated ADP and office automation approach which meets the needs of INS and allows future flexibility and growth

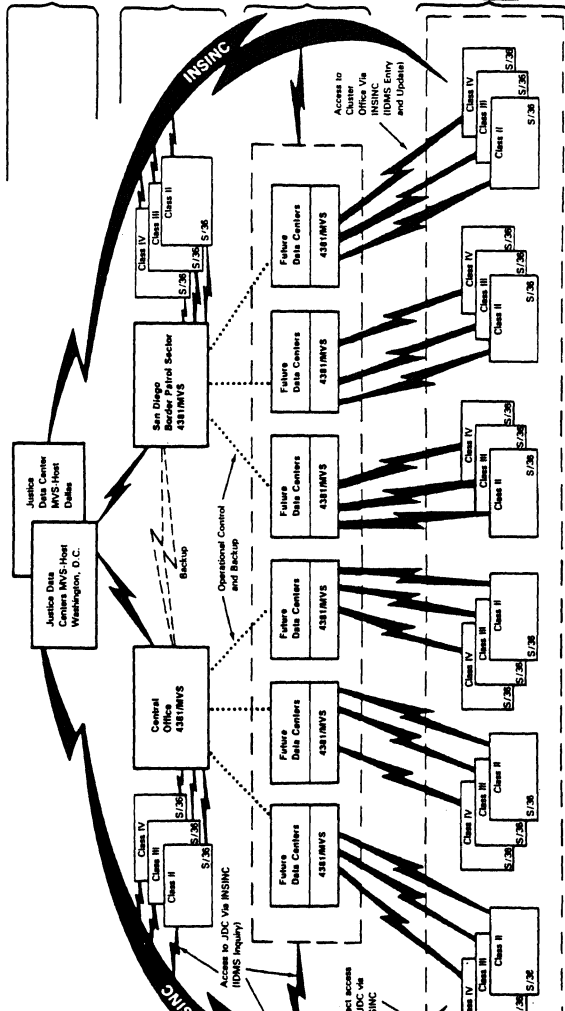
Capabilities

- **Provides expandibility and flexibility in sizing for field offices**
- **Insures reliability of equipment and information**
- **Maintains security and privacy of data**
- **Requires compatibility with Washington and Dallas data centers as well as ease of implementation**
- **Uses standard terminals and is user friendly**

Status

- **First configuration installed and operational February 1, 1985**

INS System Architecture



Configuration Expandability/Flexibility

**Virtually unlimited horizontal or vertical expansion
of basic architecture**

**Transparent addition or deletion of processors
within the network**

**Natural upgrade or downgrade between fully compatible
configuration classes**

**Flexible operating system permits expansion to
largest IBM systems**

**Easy field upgrade to triple processor capacity
within the same footprint**

Flexibility

the existence of a logical system which is a superset of the physical system greatly simplifies increasing/decreasing system components

even when the host processor is down for major upgrade, most functions are still available to all terminals

Workload can be directed to new/different processors without and user involvement or awareness

the maintaining of forward and backward compatibility by the operating system has historically allowed and will continue to allow easy technology insertion

most hardware modifications are accomplished with little or no impact to on-going operations

growth from one configuration class to another is a natural evolutionary process

Reliability

Resumption of operational status is usually a rapid process with little end user impact

Most intermittent memory and logic errors are corrected and have no operational impact

The 4381 hardware and MVS recovery modules work together to recover from channel and device errors

A protocol of acknowledgements between teleprocessing nodes ensures successful transmission of data

Reliability

Extensive error detection and correction features in all system components and communications protocols minimize the impact of equipment or software failures

Operating system and special software has built-in recovery capability

Host processor redundancy for all critical functions with full network access from any terminal to bypass failed units

Online remote diagnostics backed by the most extensive field service capability in the country

Security and Privacy

- **Physical barriers and keylock protection of sites and equipment**
- **Logical protection through data privacy techniques proven on numerous large scale systems**
- **Multi-level logical protection for 4381/MVS sites**
 - **Network (INSINC)**
 - **Signon password protection limits access**
 - **System (MVS, VTAM, RACE)**
 - **Sign-on password protection**
 - **Data set password protection**
 - **Applications (IDMS, UCC1, PANVALET, ISPF)**
 - **Password protection**
 - **File access limitations/passwords**

Security and Privacy

**Multi-level logical protection for S/36 sites
Sign-on password protection
File, member, record protection
Invalid access displayed, logged**

**4381/MVS complexes are to be installed behind
locked doors**

**Multi-level protection at terminals
Physical protection thru use of security key lock
Logical protection thru sign-on password and logical
protection mentioned above**

Ease of Implementation

**All major equipment from a single vendor (IBM)
eliminates interface compatibility concerns**

**Equipment designed for office installation
without raised floors or special air-conditioning**

**Well defined installation procedures proven
by extensive field experience**

User Friendliness

Remote operatorless host sites controlled by small, highly trained office staff

Proven ergonomic design suitable for office environments

Menu-driven command structure with numerous help displays

Systems Approach Responds to INS Driving Requirements

Driving Requirements	System Approach
Integration of All INS Sites with INSNC (TYMNET) Communications Network	<ul style="list-style-type: none"> • All Sites Interface with TYMNET for Network Communications • Reduce TYMNET Packet Cost by Distributive Data Processing at Local Sites
Adherence to System Information Security and Privacy	<ul style="list-style-type: none"> • Software which Restricts Access to System, Files, Records, and Terminals • Site Physical Security Design and Training
Distributed Office Automation and ADP	<ul style="list-style-type: none"> • All Sites have Dedicated (or "OWNED") Processing to Provide: <ul style="list-style-type: none"> - Reduced Requirement for TYMNET Access - Increase Site ADP, P/A Availability through Reduced Dependency on Central Processors - Continuity of Operations by Increased Availability
Ease of Transition	<ul style="list-style-type: none"> • Hardware Requires Minimal Site Preparation • Hardware and Software Compatibility through Single Vendor Supply • User Friendly Workstations • Modular Upgrade within Processor Families

Systems Approach Responds to INS Driving Requirements

Driving Requirements	System Approach
Increase Productivity - Reduce Work Backlog - Improve Institutional Memory - Respond to Simpson/Mason Legislation Requirements - Rapid Access to A-File - Rapid Access to INS Indices	<ul style="list-style-type: none"> • Distribute Data Processing and Office Automation Capabilities at Office/Border Patrol Sites • Flexibility to Tailor Software Applications to Unique Site Needs • Telecom Access to Centralize Data Bases
Flexibility to Accommodate Growth and Change	<ul style="list-style-type: none"> • Use of Hardware and Software Products which are in IBM's Strategic Product Plan
Minimize Personnel	<ul style="list-style-type: none"> • Remote Control of Unmanned Sites
Minimize Requirement for Field Personnel with ADP Experience	<ul style="list-style-type: none"> • Remote Control of Unmanned Sites • User Training through CAI • User Friendly Workstation Terminal • Operating Cues through Instruction Messages and Menu Selection
Compatibility with Justice Department and Access to IDMS Data Bases	<ul style="list-style-type: none"> • Use Same Operating System (MVS) • Use of IDMS

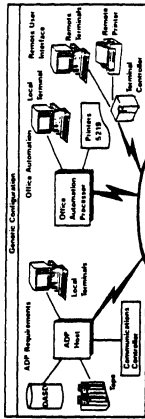
The Distributed Processing Approach Best Meets the Functional and Operational Requirements of the INS

	Advantages	Disadvantages
Centralized Large Processor with Many Terminals	<ul style="list-style-type: none"> • Easy Control • Lower O&M Support Costs • Lower Initial Cost 	<ul style="list-style-type: none"> • No Local Applications Development • Slow Response Time • Limited Growth • Higher Communications Cost
Geographical Cluster of Intermediate Processors with Distributed Office Information	<ul style="list-style-type: none"> • Capability to Distribute Data Base • Rapid Response Time • Tailored Application to Local Needs • Lower Communications Cost 	<ul style="list-style-type: none"> • Higher Initial Cost • Higher O&M Cost Unless Sites Can be Remotely Operated and Maintained (See Section 2.3)

The Distributed Processing Approach Best Meets the Functional and Operational Requirements of the INS

Function	Centralized Approach	Distributed Approach
Access to JDC	Access to JDC via DDMC. All ADP and OA Functions on Centralized Host Accessed via DDMC. System Network Architecture Available.	Access to JDC via DDMC. Most ADP and OA Functions Are on Distributed Processor Available Locally. System Network Architecture Available.
Office Automation	Host Based OA. Hosts Designed Primarily for ADP. Not OA. Users Must Access via DDMC. Shared OA Functions (Mail, Messages) Supported. Single Terminal Interface.	OA on Specialized OA Processors. Designed for OA. More User Friendly. More Functions. Local Attachment for Improved Response Time, Greater Availability. Local Control of Local Requirements.
Productivity	Remote Network Access to All Functions Impairs Response Time. Generalized ADP Host for All Functions.	Local Access to Processors Eliminates Network Delay. Specialized OA and ADP Processors. Specialized Terminal Workstations as Required. Rapid Access to A-Flats.
Engagement	Single Terminal Used for Every User.	OA Processors Designed for Ease-of-use and Training. "User-Friendly" Improved System Response Time Improved Operator Interface.
Reliability/Availability	Advanced Technology Processors with High Reliability Operating System. Reliance on Single Host for Critical Functions. Single Components (Terminal/Network/Host/Network/Terminal) Vulnerable to Unavailability.	Advanced Technology Processors and High Reliability Operating System. Redundant Components. High Availability. Local Processor - Less Reliance on Network or Remote Hosts.
Security	Centralized Control. Simple Security Procedures. Fewer Physical Security Risks. More Vulnerable to "Single Point of Failure."	Departmental Security Levels. Multiple Levels of Security Required. More Complex Administration.
Expandability/Flexibility	Central Host Can Grow to Multiple Processors. All Users Can Receive Any Function.	Expansion of Any Level of Processor - ADP or OA. Modular Growth in Any Area Desired. Smaller Processors have Greater Growth Potential. Processing Can be Tailored to Suit Type of Function and User Requirements. Specialized Needs Are Addressed.
System Integration	Single Administration of System Installation. Single System for All Functions.	Modular Design to Provide Functions to Users That Are Required. Distributed Processors Designed for More, More-ADP Personnel. Easier to Add and Subtract. OA and ADP Personnel. System Must be Integrated with ADP System.

Configurations

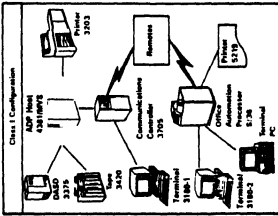


Class I Sites

- Provide Local ADP and Office Automation Service
- Serve as a Network ADP Node for Class II & IV Sites

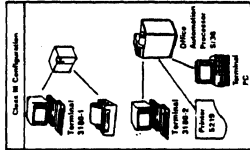
Class II, III, IV Sites

- Provide Local ADP and Office Automation Service
- Receive Host ADP Service Through NCSMC Network



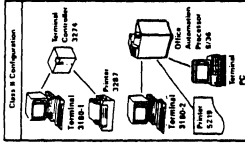
• Provide Local ADP Services and serve as a Network ADP Node for Class II & IV Sites

• Office Automation Service provided by a Local System/36



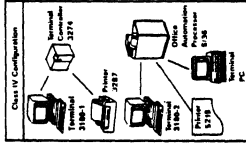
• ADP Services Provided Remotely by a Network ADP Node

• Office Automation Services and Local ADP Provided by Local System/36



• ADP Service Provided by a Network ADP Node

• Office Automation Service provided by a Local System/36

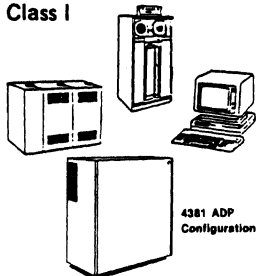


• ADP Service Provided by a Network ADP Node

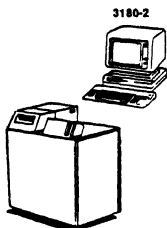
• Office Automation Service and Local ADP Provided by a Local System/36

Requirement	Class I	Class II	Class III	Class IV
System Software	MSVS	Requirement Met at Network ADP Node	Requirement Met at Network ADP Node	Requirement Met at Network ADP Node
Immediate Access to Storage	3375	3180-1	3180-1	3180-1
Terminal	3180-1	3180-2	3180-2	3180-2
Office	3180-2	3180-2	3180-2	3180-2
Archival Storage	3420	Requirement Met at Network ADP Node	Requirement Met at Network ADP Node	Requirement Met at Network ADP Node
HM Reprod	3202	3282	3282	3282
Printer	3287	3287	3287	3287

Class I



Personal
Computer



System/36
ADP/OA



System/36
ADP/OA

Class II



3180-1 ADP
Terminal



Personal
Computer



System/36
ADP/OA



System/36
ADP/OA

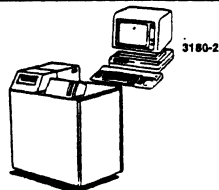
Class III



3180-1 ADP
Terminal

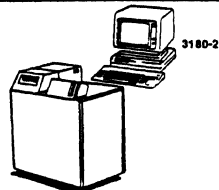


Personal
Computer



System/36
ADP/OA

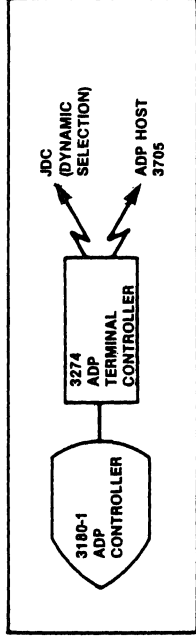
Class IV



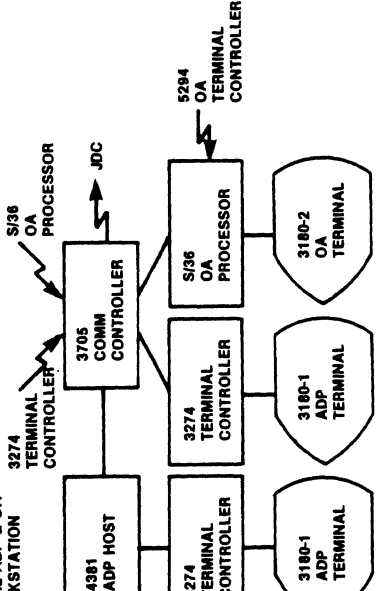
S/36 Features

- **Office environment/user**
- **Fully integrated software/comm/help/
terminal mix**
- **Local ADP-larger processor
multi-processor**
- **Security**
- **Remote operations/diagnostics**
- **PC only for specialized user attached
as S/36 terminal**
- **Growth flexibility**
- **Hardware failure recovery**

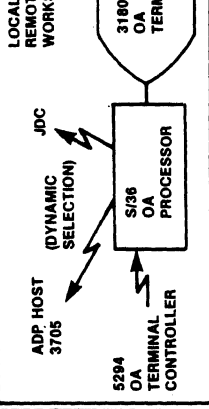
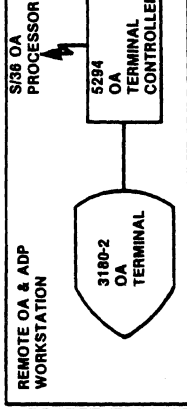
Terminal Connectivity



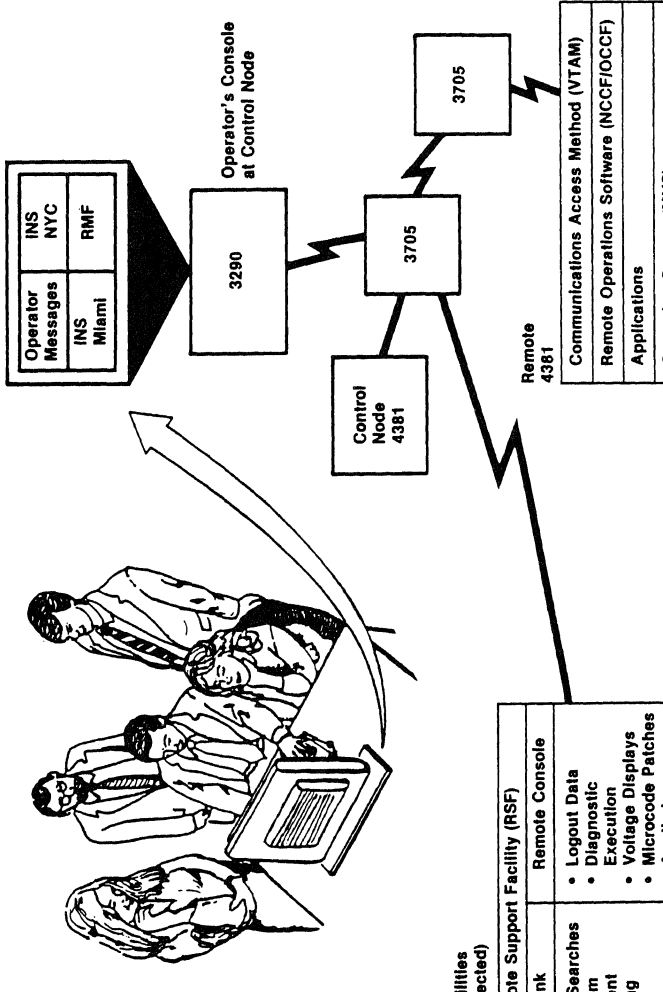
LOCAL ADP & OA WORKSTATION



REMOTE OA & ADP WORKSTATION

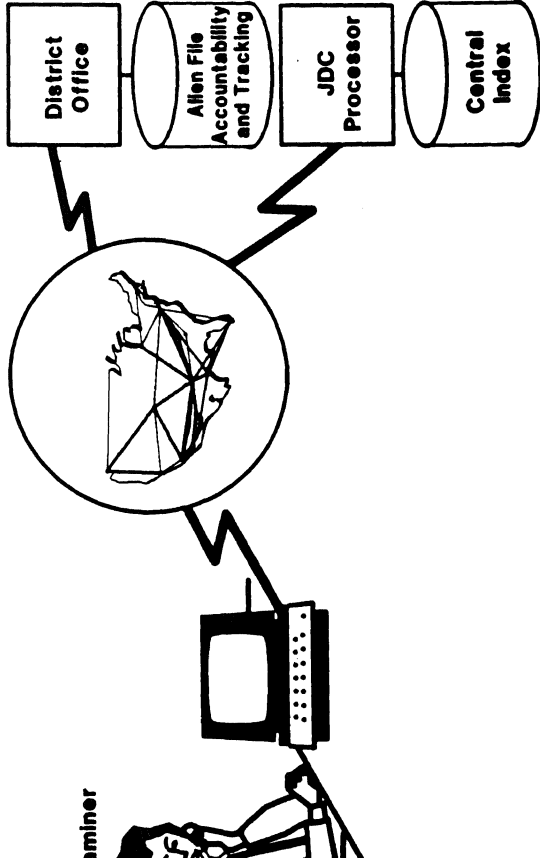


Host Operations Scenario



System Operation

Automation Functions and Information Retrievals from Remote Files are Executed from the Same Workstation



Application for Permanent Residence

applies for permanent residence at District Office

**examiner queries national data base for existence of A-File
file exists, examiner requests that it be forwarded to
District Office**

file does not exist, one is set-up locally

**accountability tracking is begun (name, reason for A-File
recorded)**

central index is updated to note pending application

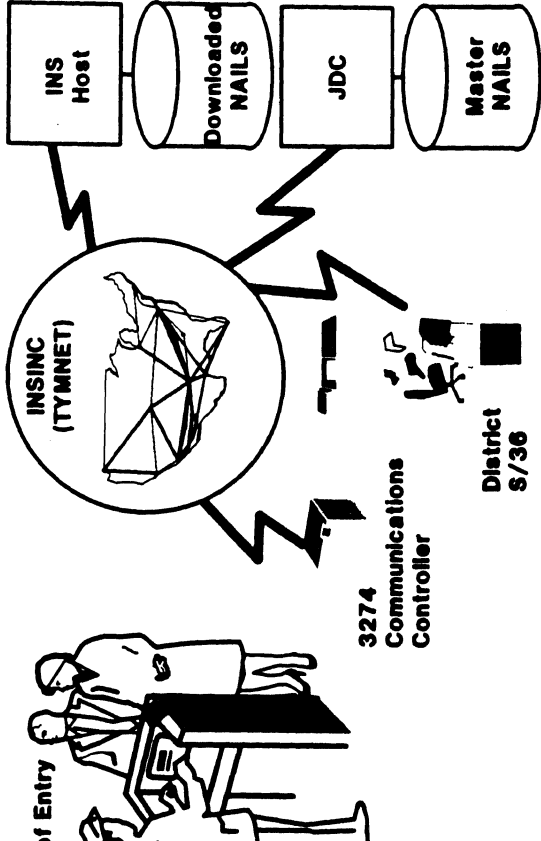
**is updated locally as normal investigation proceeds
security check, fingerprint chart sent to FBI)**

es made into status of application

**Disposition of application (approved/rejected at District
and at JCD)**

System Operation

Architecture Provides Around-the-clock Access
to Centralized Files to Support Ports of Entry

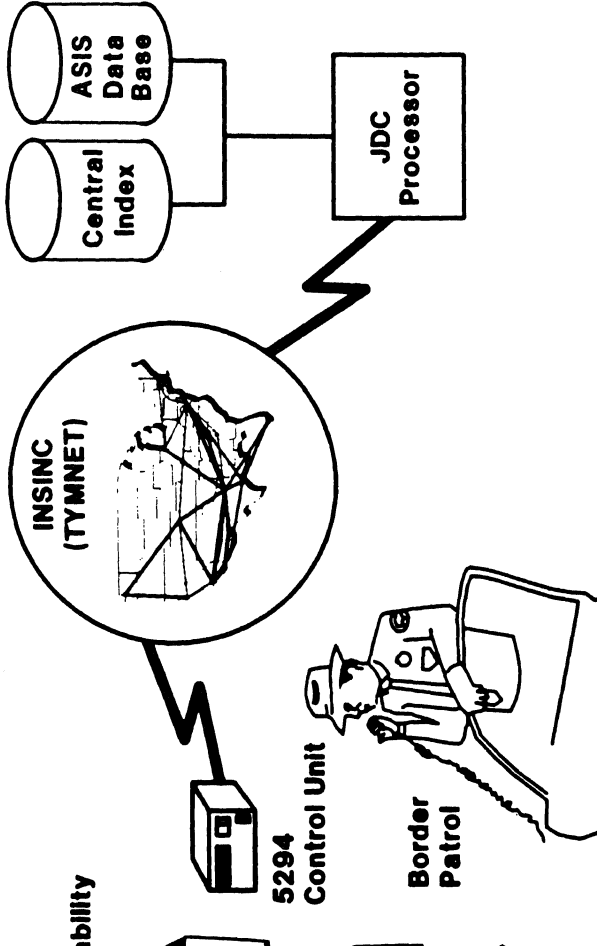


Use Of Service Lookout Book (NAILS)

- 1. Enter names, dates of birth, etc., of persons who are ineligible to enter country (e.g., previously deported)**
- 1. Download Master NAILS to host processor nightly**
- 2. Check arriving passengers against NAILS**
- 3. If found in NAILS, sufficient information is provided to allow contacting of office with A-File**

System Operation

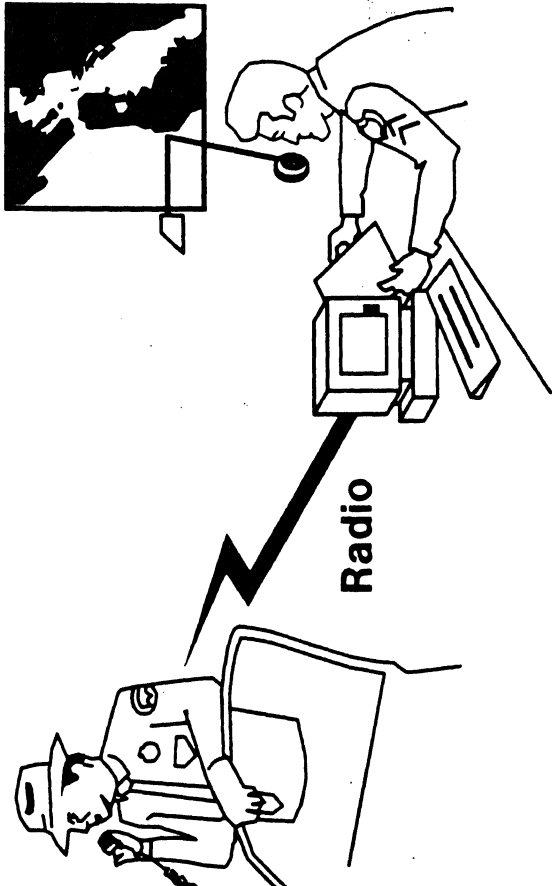
em Solution Provides Direct Inquiry Access to
Files as Well as Locally Maintained Data Bases



Apprehension Of Illegal Aliens

Border patrol picks up group of illegal aliens
The station queries ASIS to determine previous record
Border Patrol takes appropriate action based on previous record e.g., known smugglers may be arrested
Previously apprehended illegal aliens may be deported or prosecuted
At time offenders may be allowed to "depart voluntarily"
Appropriate forms are completed, e.g., apprehension receipt (113), order to show cause, warrant of arrest
If smuggling is involved or alien is being deported, then file tracking is initiated as in Panel A, (DAC system will be updated if appropriate)

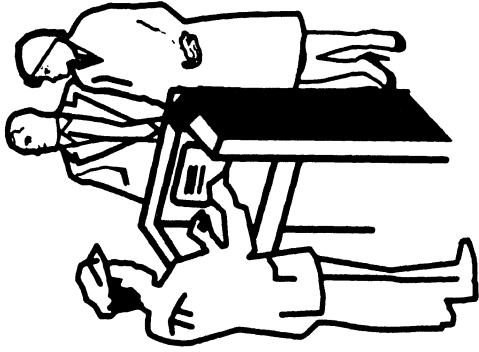
Border Patrol Scenario



Border Patrol Scenario

- **Interrogation of suspicious individual**
- **Call from the field to border patrol station**
- **Name entered into system (via IBM 3180 ADP terminal)**
- **A-Number, custody data located (IDMS database retrieval)**
- **Bond-jumper - identified, recaptured**

Port Of Entry Scenario



Port Of Entry Scenario

- Enter names, date of birth of persons seeking to enter country
- Check for NAILS record
- Allow for rapid decision making based on comprehensive, up-to-date data

Other IDMS functions demonstrated

- Delete
- Add
- Change
- Alternate key retrievals

Data Communications

INS Integrated Network

Communications System (INSINC)

urpose

vide nationwide access to INS application systems

abilities

edicated bisynchronous and asynchronous communications
Justice data center and NDC

**ccess to other federal and state systems - NCIC, NLETS,
ECS, ALVOS**

Data Communications

INS Integrated Network Communications System (INSINC)

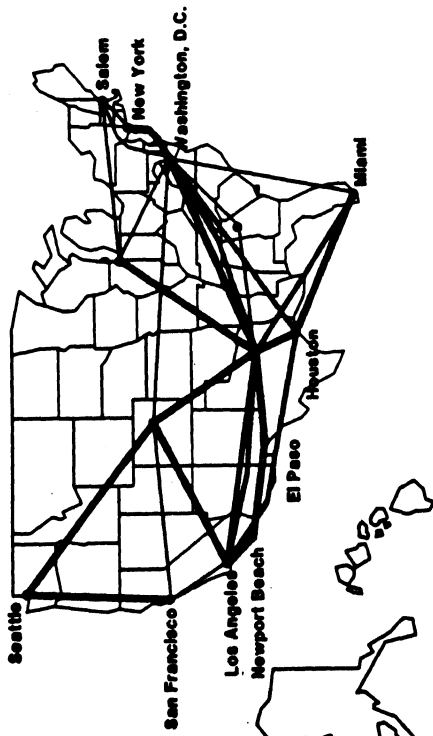
Status

- **112 sites with dedicated service**
- **Dallas data center online**
- **NLETS and NCIC online**
- **Conversion of INSINC to private network**

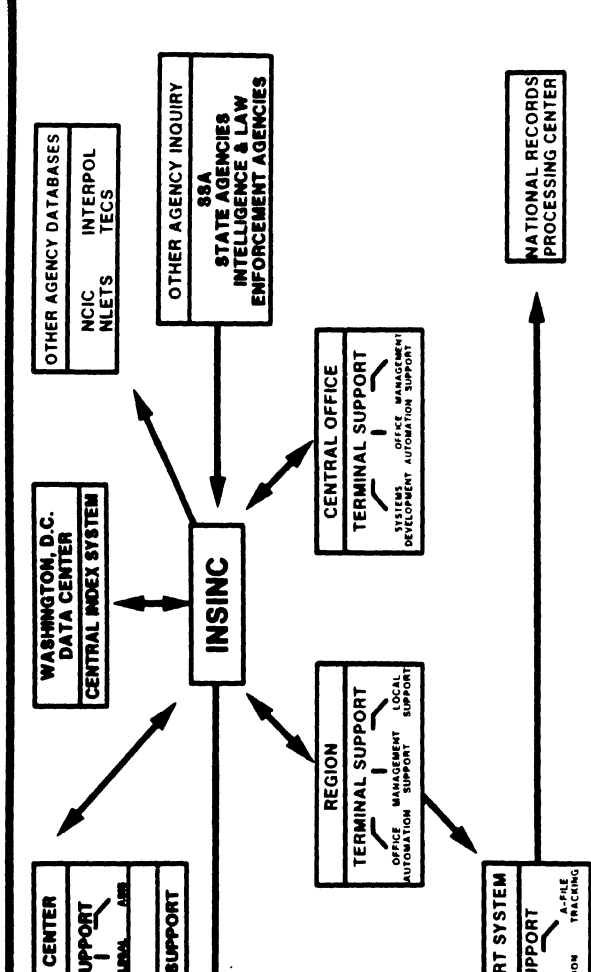
Plan

- **Upgrade of backbone to 56KB by FY86**

INSINC Backbone



INS Data Flow

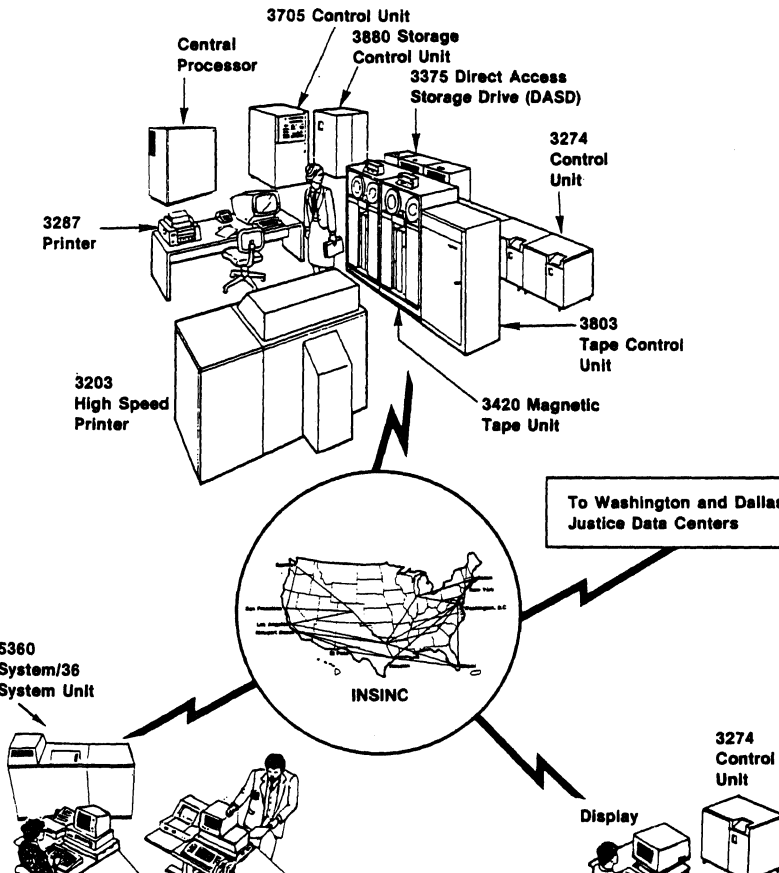


ADP Environment

The diagram illustrates the ADP Environment, centered around the **INSINC** system. The components and their connections are as follows:

- Central Processor**: Connected to the **3287 Printer**.
- 3705 Control Unit**: Connected to the **3880 Storage Control Unit**.
- 3880 Storage Control Unit**: Connected to the **3375 Direct Access Storage Drive (DASD)**.
- 3375 Direct Access Storage Drive (DASD)**: Connected to the **3274 Control Unit**.
- 3274 Control Unit**: Connected to the **3803 Tape Control Unit**.
- 3803 Tape Control Unit**: Connected to the **3420 Magnetic Tape Unit**.
- 3420 Magnetic Tape Unit**: Connected to the **3203 High Speed Printer**.
- 3203 High Speed Printer**: Connected to the **5360 System/36 System Unit**.
- 5360 System/36 System Unit**: Connected to the **3274 Control Unit**.
- 3274 Control Unit**: Connected to the **Display**.
- Display**: Connected to the **3274 Control Unit**.

The **INSINC** system is shown in a circular frame, with a map of the United States indicating connections to **Washington and Dallas Justice Data Centers**.



Project Inform

pose

provide automated files accountability

abilities

**provides automated inter and intra office movement of the
services 22 million files**

stant up date via bar code update capabilities

Project Inform

tus

Files Accountability System completed in February 1984 in
the Washington district office

Files conversion underway in New York and Chicago,
Los Angeles, San Francisco, Miami

n

Complete Files Accountability System in New York and
Chicago districts by July 1985

Propagate Files Accountability System to Los Angeles,
Miami and San Francisco

Retrofit revised system into Washington district office

Radio Communications

e

is a nationwide tactical radio communications capability
law enforcement activities in high activity areas of
tion with the capability to expand into low activity areas
ound

federal agency to use mobile radios

largest radio system in federal government

ed to limits of VHF/UHF capacity

essive microwave experience

more, Mcallen, Swanton sector, Texas Oklahoma circuit

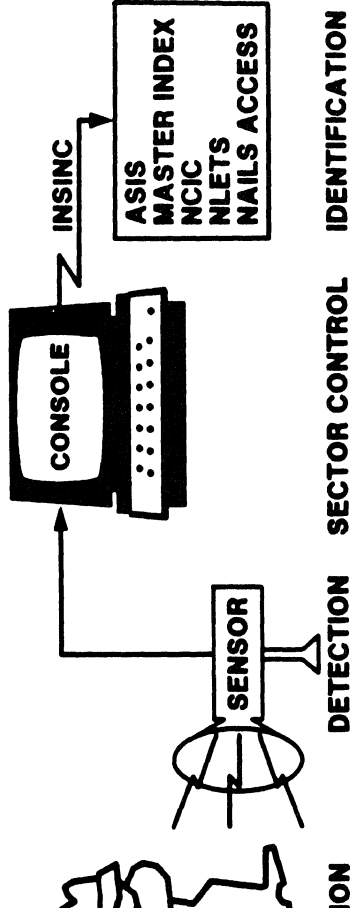
y for major change - new technology will solve southern
ornia congestion problem

Radio Communications

VHF/UHF - Microwave Comparison

Criteria	VHF/UHF	Microwave
Noise	Yes	No
Water	Yes	No
Warm		
of channels	1	24-70+
ication with other (liaison channel)	No	Yes
curity	No	Yes
d capability		
	No	Yes
	No	Yes
	No	Yes
ata		
of synthesized radios	1 channel	32 channels
y utilization	Saturated	Expandable
ous users	1	24-70
ect	Contiguous Sectors only	Los Angeles to Florida

Intrusion Detection is an Integral Part of the Overall INS Enforcement Data System



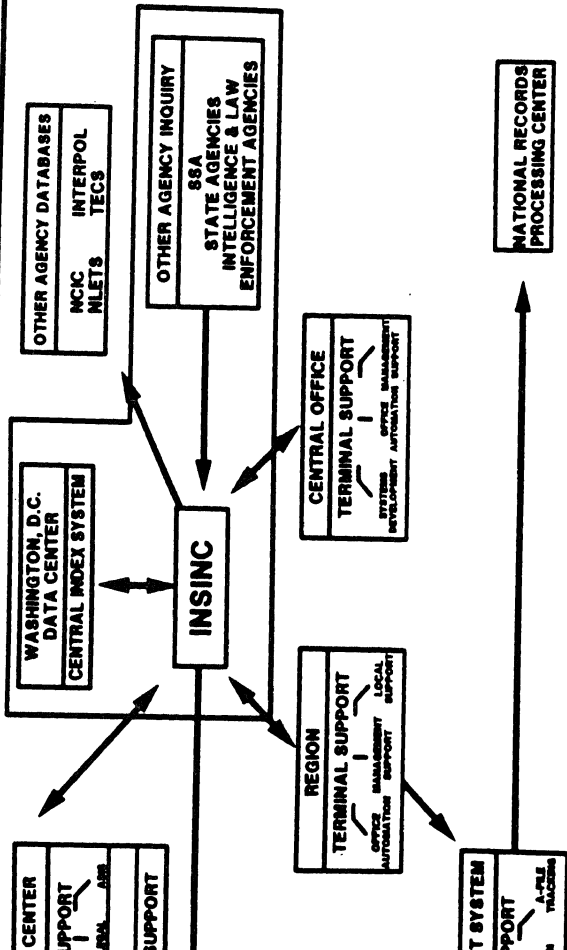
**Increasing the Effectiveness of Enforcement
Manpower Through Technology**

Alien Verification Status Index

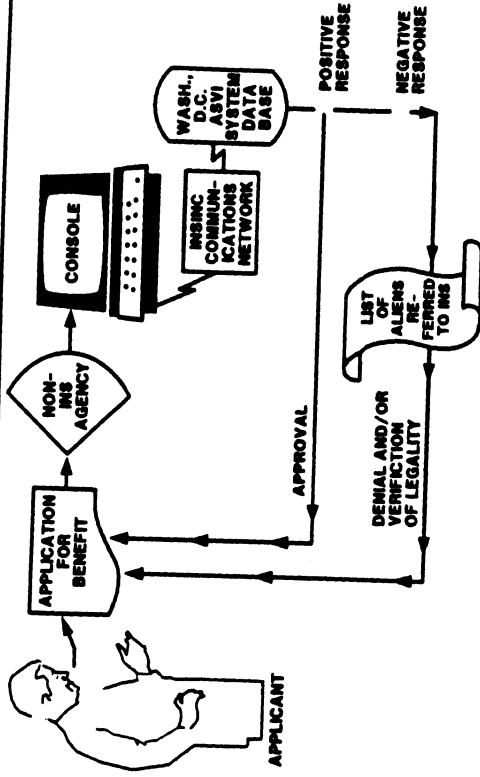
- **Alien name**
- **A-file number**
- **Date of birth**
- **Place of birth**
- **Date of entry**
- **Place of entry**
- **Files control office location**
- **Alien status/classification**

Project Save

- **Formal request**
- **Memorandum of understanding and reimbursable agreement negotiated**
- **State security clearance access (passwords and employee suitability)**
- **INSINC communications link established into state master site**
- **Training (user access and system training)**
- **Spot audit of physical security**
- **Reciprocal reports**
 - **System usage**
 - **Cost avoidance**
 - **Referrals for INS follow-up**



The Alien Status Verification Index Process



Summary Estimate of ADP Costs

	Fixed Costs	From	Variable Costs
Recurring Monthly Charges:			
A. Communications			
1. 4800 Baud Line	\$ 400	\$ 200	\$
2. Two Modems	800		
3. TYMNET Micro-Engine			
B. ADP Equipment			
1. Controller, Terminal, and Printer	300	55	
2. Additional Terminal			
Total Recurring Charges	\$1,500	\$ 255	
One-Time Start-Up Charges			
1. Communications Installation and Training	\$2,500		
2. Security Clearance (Per Operator)		\$ 100	
Total One-Time Charges	\$2,500	\$ 100	

Telephone Service Centers

Purpose

Improve service to the public through dedicated centralized INS telephone service centers

Capabilities

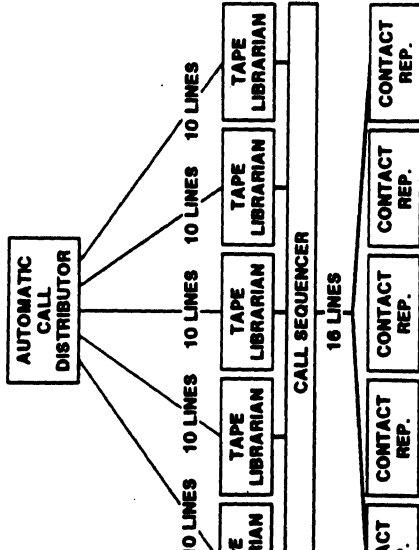
- 92% of all calls solved over phone with one call (eliminates follow-up visits)
- 70% of questions answered by over 47 subject matter tapes
- Other 30% automatically referred to back-up representative
- Quadrupled number of calls handled per hour

Status

● Center serving NYC, Newark, Boston and Philadelphia (operational in New York)

● Western site opened March 5, 1985 to serve San Francisco, San Jose, and San Diego

Telephone Answering Structure at Regional Telephone Center



50 Primary Lines:

5 Tape Librarians at
5 Ask Immigration
10-Line Tape Librarians

16 Secondary Lines:

6 Contact Representatives
at 16-Button Telephones

Telephone Service Center Benefits

Public Service

District Office

Newark

New York

Philadelphia

Est. Annual
Pre-TSC

Call Volume

60,000

180,000

40,000

280,000

Projected
Annual TSC

Call Volume

130,000

416,000

65,000

611,000

Telephone Service Productivity

District Office

Newark

New York

Philadelphia

Pre-TSC

Calls/Work Hour

9.0

6.5

12.5

TSC Average

Calls/Work Hour

28

7.5 avg.

Non-Telephone Service Productivity Gains

District office resources can be freed up to:

- Provide improved counter service (expanded hours)
- Work on FOIA/PA and correspondence backlogs
- Perform other records and information activities
- Perform up-front adjudications

Project SAVE

Stephen Fickett

Project SAVE, the Systematic Alien Verification for Entitlements, is designed to prevent aliens from receiving benefits illegally by providing States with direct terminal access to information on aliens' status. INS' role in Project SAVE is to provide information to assist in the determination of eligibility for entitlements. Enforcement is left to the States.

Many governors, State officials, and even President Reagan have been briefed on the advantages of Project SAVE. It provides enormous cost savings for the participating States and may soon become mandatory for all 50 States.

The seven charts that follow (Exhibits A-G) show the benefits, the process, and the role of INS in Project SAVE. When an alien applies for benefits, such as food stamps or a student loan, a State agency consults its own terminal. Using the A-number, direct access can be obtained to the Master Index via ASVI. If the alien's number is listed in the system, and everything seems proper, INS' involvement stops there. If, however, the A-number is not found within the computer index, or if the data seems questionable, INS will be contacted for further information. In that case, a form, such as the draft form shown in Exhibit H, would be filled out by an INS employee, verifying the status of the alien or the authenticity of an alien's documentation.

Some comments from the audience following this presentation:

- What is the liability for a GS-3 clerk who signs a Verification Request form saying that no record is available for an alien, if later a record is found?

Answer: Clerks will not have this responsibility placed on them.

- Colorado is understaffed and cannot handle this extra workload. Fifty percent of our staff are student aides.
- Project Save will be used by some federal agencies as well, for example, the Social Security Administration (SSA). SSA doesn't ask us whether the aliens are illegal, but only if INS knows whether they're in the United States legally.
- These alien files are overused. Social Security Administration, Welfare, military recruiters, even county officials come to see our records to check up on their taxi drivers. If we allow everyone to use these terminals, how can we do our own work?

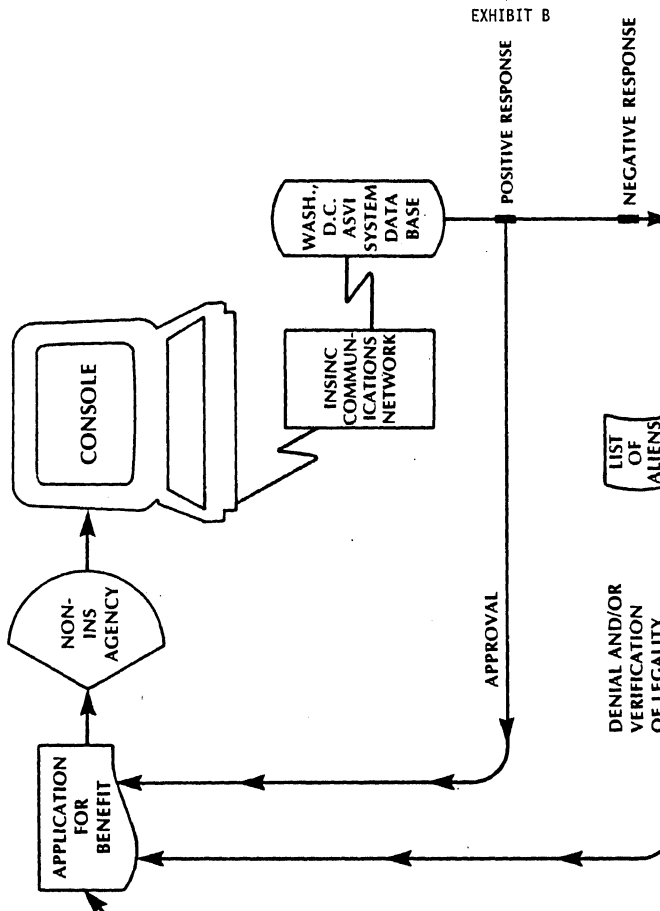
Answer: Terminal access will help this problem by increasing the speed at which you can work.

**IMMIGRATION
AND
NATURALIZATION
SERVICE**

**SAVE
PROGRAM**

**SYSTEMATIC ALIEN
VERIFICATION FOR
ENTITLEMENTS**

THE ALIEN STATUS VERIFICATION INDEX PROCESS



e SAVE Program

Operating Principles

**LEGAL BASIS FOR SAVE
DIRECT ACCESS TO INS RECORDS
STATES RETAIN FULL BENEFITS CONTROL
NO INS REVIEW OF BENEFIT DECISIONS
NO STATE ENFORCEMENT RESPONSIBILITY**

The SAVE Program

ADVANTAGES

STATES

- SUBSTANTIAL COST AVOIDANCE.
- GRANTING OF BENEFITS ONLY TO ENTITLED APPLICANTS.

INS

- REMOVAL OF A MAJOR INCENTIVE FOR ILLEGAL IMMIGRATION.

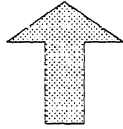
APPLICANTS

- FACILITATION OF THE APPLICATION PROCESS.

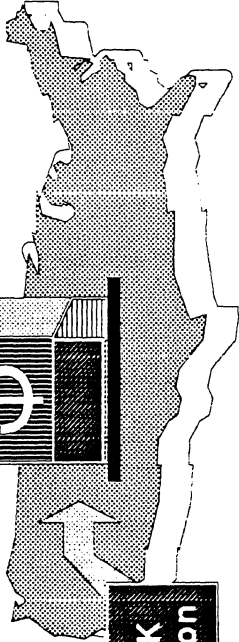
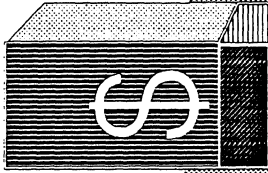
the SAVE Program

Planning Assumptions

Estimated Cost of
ELEMENTS
PROGRAMS
(1980)



\$490
BILLION
DOLLARS



HIGH RISK
\$112 Billion

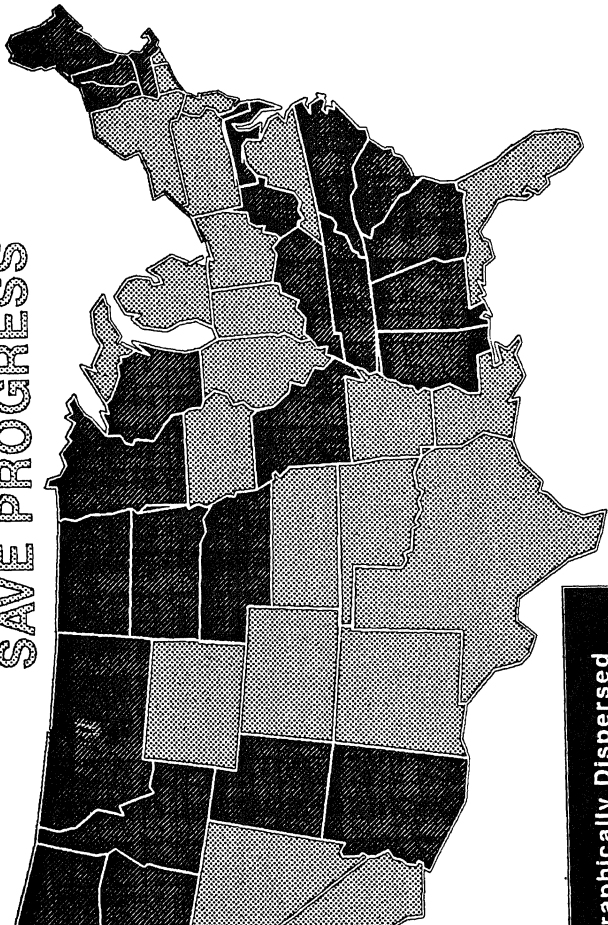
Selected High Risk Entitlement Programs

		<ul style="list-style-type: none"> ● Student Loans ● Pell Grants ● Educational Grants 	Potential Cost Avoidance
EDUCATION	\$9.7		\$242.5 Million
AGRICULTURE	\$14.4	<ul style="list-style-type: none"> ● Food Programs 	\$360.0 Million
HEALTH & HUMAN SERVICES	\$52.5	<ul style="list-style-type: none"> ● Medicaid ● Aid-to-Families with Dependent Children ● Supplemental Security Income 	\$1,312.5 Million
LABOR	\$21.3	<ul style="list-style-type: none"> ● Unemployment Insurance 	\$532.5 Million
OTHER	\$14.1	<ul style="list-style-type: none"> ● Housing ● SBA Loans, Misc. 	\$352.5 Million

Program Costs \$112 Billion

Total \$2.8 Billion

SAVE PROGRESSES



STATES SHOWING INTEREST IN SAVE.

raphically Dispersed Discriminatory tisan

Applicant's Name		Nationality	Alien Registration Number
Date of Birth		<input type="checkbox"/> Photocopy of Document (If printed both sides, front and back) Attached <input type="checkbox"/> No Document Attached - Status Alleged (See Remarks Below) <input type="checkbox"/> Other Information Attached	
INS Security Number:			
IMMIGRATION AND NATURALIZATION SERVICE ATTN: Document Verification Section		WE WISH TO VERIFY THE AUTHENTICITY OF THE ATTACHED DOCUMENT AND/OR VERIFY THE ALIEN STATUS AND WORK AUTHORIZATION OF THE APPLICANT. Signature	
		Title Date	

REMARKS OR SPECIAL INFORMATION RELATIVE TO REQUEST

ALIEN APPLICANT AUTHORIZATION (When required)

I hereby authorize the _____ to verify the authenticity of my alien registration documentation with the Immigration and Naturalization Service. (Submitting Agency)

Signature of applicant date

NAME AND ADDRESS OF SUBMITTING AGENCY (Typed or Stamped Name and Address of Submitting Agency)

Name of Agency Representative

Phone Number (Include Area Code)
()

Unit

INS RESPONSE

THIS SECTION FOR INS USE ONLY

Based on the document information submitted and/or a review of our records we find that:

- ☐ The document agrees with INS records and appears to be genuine;
☐ This alien has permission to accept employment without restriction.
☐ This alien is not permitted to accept FULL-TIME PART-TIME (single employer) employment until

Class

Project Inform is a system of barcoding alien files in order to facilitate files tracking. Last year, the Project Inform pilot system was installed in the Washington, D.C. District Office. Although it has had some problems, it is a good foundation and will be of great benefit to INS.

The following charts and outlines are presented here to further explain Project Inform:

1. Project Inform's Mission Statement
2. Project Inform's Goals
3. Project Inform's Six Phases
 - These phases were established in 1983 and are still on schedule for the most part.
4. Alien Files Accountability and Control System (AFACS) Application System Review
 - AFACS is a local A-Files tracking system.
5. Local Accountability Strategy
 - "Survey/Plan/Propose" refers to: surveying the condition of the office; planning out how to approach it with regard to data collection activities; and making a proposal to the District Director, the Director of the Systems Division, and the local Records room supervisor, etc.
 - Clean up activity is performed primarily by the Tiger Team.
 - There are three levels of training; managers are trained first, data administrators, and the managers of each of the operating sections.
6. Bar Code Labels
 - The bar coded information is the alien number itself.
 - This system does not track names or content.
 - The bar code's information includes numeric, alphabetical, and special characters.
7. The Bar Code Reader
8. The Computer Hardware

consists of a battery-powered wand, which looks very much like the 5100 terminal that most of the INS offices have received.

- The "wedge" translates information from the bar code reader's wand to the terminal, just as if the alien number had been keyed in manually.

Equipment Distribution Plan

- This diagram shows the distribution in the Washington district office, but the plan is similar to what will be implemented in other offices.
- The placement of terminals is dependent on two factors: (1) the physical size and layout of an office; and (2) the number of places through which files would normally pass.

The Demand For Accuracy

- Bar codes need only be keyed in once; therefore, errors due to keypunching will be greatly reduced.

Schopenhauer's Law For Computers

AFACS Strategy

- Bar coding is usually performed by contractors.
- Post-implementation audit serves to post locations of the alien files, right after the system is brought up.

Computer Site Survey

Files to Be Barcoded

- Files are coded by prefix. The usual prefix of "A" in a normal A-File will sometimes be an "S" and will sometimes be a "T."
- If you have multiple copies of a file, the system will tell you where each of these files is located.
- Non-immigrant N-Files may be barcoded if a particular office wants to keep track of them, but there will be no data preparation for these files.

The Requirements of AFACS

- The "Loans" capability will probably not be used frequently due to current regulations.

Request allows the user to obtain the file.

- Charge Out: Any office can charge a file to any other office.
- The "Return Hold" transaction prevents a file from being returned before a particular office is finished with it.

17. Records Section Transactions

- "New Add" is used for A-File creations.
- "Consolidation" is for the joining together of multiple files, including a temporary file with an A-File.
- "Change Accession/Box Number" is used for correcting mistakes.

18. The Barcode Menu for Records

19. The Barcode Menu for Deportation

- Officers names can be barcoded. The system can hold up to 1,000 different codes per section. This facilitates accountability of files, because each person and each storage cabinet can have its own number assigned to it.

20. Location Codes Table

21. AFACS Data Base Data Elements

- "Flags" include the Return Hold function, or any other symbol which communicates the status of a record.
- "Audit Date:" the Audit is a very important procedure, and should be performed about twice a year. "Audit" is similar to an inventory of files. Audit function serves to discover improper bar codes, that is, bar codes out of sequence.

22. AFACS Reports/Statistics

23. Sample AFACS Form

- This is an example of an AFACS statistical summary.

24. Diagram of Transaction of A-Files Between Records and Operating Section

- There are two steps to an A-File transfer: charge out and receipt. The receiver must acknowledge receipt so that the system knows where that A-File is.

- There were some mistakes on the pre-numbered barcoded folders. If you do change your numbers, please place a black line through the bar code, because the bar code will still be the old number.
- IMDAC folders were not bar coded, due to a financial dispute with the contractors.

26. Barcoding Results by City: Bar codes on Shelves, FRC's Captured, etc.

- New York City's 2.4 million barcodes on the shelves do not necessarily mean that New York actually still has all 2.4 million files.

27. Cartoon

- This cartoon was drawn in honor of Jim Fleming, who experienced a computer mishap in Chicago. At this time, however, the hardware in Chicago is performing well.

28. Functions of the Data/System Administrator

- These functions may be performed by one or several people who know and care about Records.
- A highly specialized person will be allowed to delete records.

29. Office Automation Equipment

- This table shows the number of terminals established so far at specific locations.
- This system cannot handle more than 36 terminals per location.
- AFACS is a local system and only handles the records which you have locally.
- If you get a file transferred from another city, you must tell MIRAC about that, as well as your local filing system. There is no connection yet between AFACS and MIRAC.

If you have questions about Project Inform, Mr. Cecil Christian and Ms. Norma Johnson are your Central Office representatives.

PROJECT , INFORM



PROJECT INFORM

- > GOALS AND OBJECTIVES
- > AUTOMATED TECHNIQUES
- > CURRENT ACTIVITIES / STATUS

PROJECT INFORM MISSION STATEMENT

PROJECT INFORM'S OBJECTIVE IS THE IMPROVEMENT OF ACCOUNTABILITY, CONTROL, AND INTEGRITY OF THE A-FILE. THIS WILL BE ACHIEVED BY IMPLEMENTING IMPROVED PROCEDURES AND AUTOMATED INFORMATION MANAGEMENT SYSTEMS AT THE DISTRICT OFFICE LEVEL AND SUBSEQUENT EXPANSION TO THE NATIONAL LEVEL.

PROJECT INFORM

GOALS:

1. IMPROVE A-FILE ACCOUNTABILITY LOCALLY.
2. IMPROVE AVAILABILITY/ACCESSIBILITY OF A-FILE INFORMATION LOCALLY AND NATIONWIDE.

FY 85 COMMISSIONER'S PRIORITY #8:
"CONTINUE IMPROVEMENT OF FILES ACCOUNTABILITY"

PROJECT INFORM

PHASE 0: PROJECT INFORM STRATEGY START-UP

PHASE 1: PROTOTYPE IMPLEMENTATION IN THE
WASHINGTON, D.C. DISTRICT OFFICE

PHASE 2: IMPLEMENTATION EXPANSION TO SELECTED
DISTRICT OFFICES (KEY CITIES)

PHASE 3: SERVICE-WIDE IMPLEMENTATION OF
PROJECT INFORM

PHASE 4: PREPARATION FOR MIGRATION TO A NATIONAL
RECORDS CENTRE

PHASE 5: ESTABLISHMENT AND OPERATION OF A NATIONAL
RECORDS CENTRE

PROJECT INFORM AFACS*

APPLICATION SYSTEM REVIEW

*** A-Files Accountability & Control System**

LOCAL ACCOUNTABILITY

A-FILE ACCOUNTABILITY AND CONTROL SYSTEM

(AFACS)

- AUTOMATED FILE - TRACKING
- "BARCODE" TECHNOLOGY

STRATEGY: FOR EACH SITE:

- SURVEY/PLAN/PROPOSE
- PERFORM SELECTED FILES CLEANUP ACTIVITY
- CAPTURE MANUAL INDICES TO RETIRED RECORDS
- LOCATE & BARCODE EACH RESIDENT ALIEN FILE FOLDER
- DEFINE EQUIPMENT REQUIREMENTS
- RECEIVE EQUIPMENT
- INSTALL TRACKING SYSTEM
- ESTABLISH LOCAL TRACKING DATA BASE
- TRAIN LOCAL USERS/MANAGERS

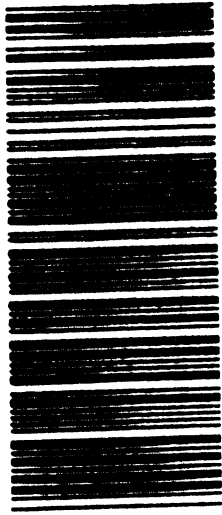
ORDER: PROCEED FROM LARGEST TO SMALLEST OFFICES

SEEK LOCAL VOLUNTEER ACTIVITY

ESTABLISH RECONCILIATION WITH NATIONAL DATA BASE

RETROFIT PILOT SITE

BAR CODE LABELS

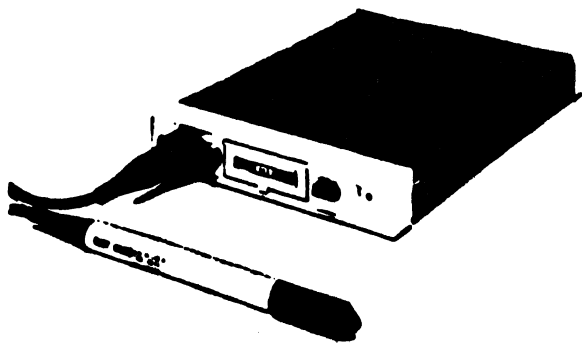


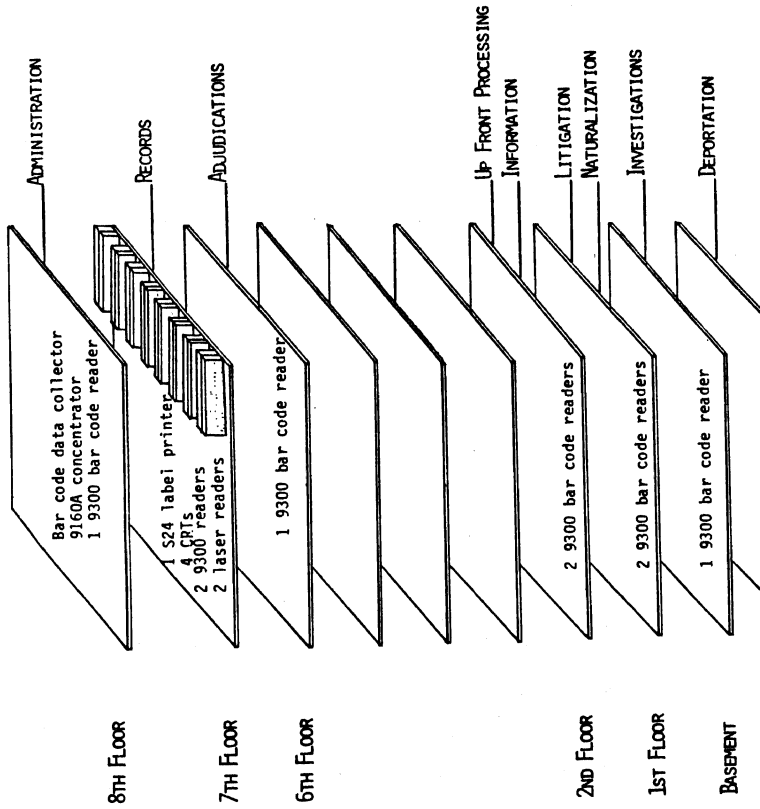
Numeric Characters

Alpha Characters

Special Characters

BAR CODE READER





DEMAND FOR ACCURACY

ERROR.....
ERROR.....
ERROR.....

HEY MAC,
YOU TYPING
WITH YOUR
ELBOWS
AGAIN ?

**COMPUTERS FOLLOW
SCHOPENHAUER'S
LAW:**

**IF YOU PUT A SPOONFUL
OF WINE IN A BARREL FULL OF
SEWAGE, YOU GET SEWAGE.**

**IF YOU PUT A SPOONFUL
OF SEWAGE IN A BARREL FULL OF
WINE, YOU GET SEWAGE.**

AFACS STRATEGY

- . FILES CLEAN-UP
- . BARCODING A-FILES
- . FRC DATA CAPTURE (DOCKET CARDS)
- . SITE SURVEY
- . EQUIPMENT INSTALLATION
- . TRAINING
- . SYSTEM IMPLEMENTATION
- . POST-IMPLEMENTATION AUDIT

SITE SURVEY

> EQUIPMENT

- LOCATION
- ENVIRONMENT

> CABLING

- PATH
- CONNECTORS, DEVICES
- LENGTH

> ELECTRICAL

- OUTLETS
- LINES
- VOLTAGE, AMPERAGE

FILES TO BE BARCODED

ALPHA	NO
SUBJECT	NO
TEMPORARY	YES
WORK	NO
PERMANENT	YES
SUBSTITUTE	YES

THE REQUIREMENTS OF AFACS FOCUS ON

6 FUNCTIONS

Initiate New A-File

Request and Distribute A-Files

Records Receive

Loans

Transfers

FRC

AND

2 DATA STORES

Bar Code File

A-File Request

Cancel Request

Inquire

Charge Out

Receive

Reassign

Audit

Return Hold

Loan Out

Loan In

Loan Back

Loan Return

Loans

Transfer Out

Transfer In

Transfer Complete

Transfers

New Add

Consolidation

FRC Return

Retire

RECORDS

Charge O

PORTATION



VESTIGATIONS



TURALIZATIONS



FORMATION



TIGATION



JUDICATIONS








MINISTRATION



YOUR DISTRICT OFFICE

Deportation

Receive

DEPORTATION		
OFFICER SMITH		
OFFICER JONES		
OFFICER OLSON		
OFFICER JOHNSON		

S	- - - - -	AD	- - - - -	000-	- - - - -	001-999
IONS (NON-INT)	- - - - -	AN	- - - - -	000-	- - - - -	001-999
IONS (REFUGEES)	- - - - -	AR	- - - - -	000-	- - - - -	001-999
P (NYC)	- - - - -	AC	- - - - -	000-	- - - - -	001-999
P (BROOK)	- - - - -	AB	- - - - -	000-	- - - - -	001-999
P (TINNIAT)	- - - - -	AM	- - - - -	000-	- - - - -	001-999
NEY	- - - - -	US	- - - - -	000-	- - - - -	001-999
DIRECTOR	- - - - -	DD	- - - - -	000-	- - - - -	001-999
TION	- - - - -	MN	- - - - -	000-	- - - - -	001-999
(SPC)	- - - - -	VK	- - - - -	000-	- - - - -	001-999
- - - - -	- - - - -	RC	- - - - -	000-	- - - - -	001-999
RI	- - - - -	DB	- - - - -	000-	- - - - -	001-999
I	- - - - -	LI	- - - - -	000-	- - - - -	001-999
IONS	- - - - -	IN	- - - - -	000-	- - - - -	001-499
N	- - - - -	IF	- - - - -	000-	- - - - -	001-999
				500-	- - - - -	501-999

RI	- - - - -	DR	- - - - -	000-	- - - - -	001-999
I	- - - - -	LJ	- - - - -	000-	- - - - -	001-999
IONS	- - - - -	JN	- - - - -	000-	- - - - -	001-499
				500	- - - - -	501-999
N	- - - - -	IF	- - - - -	000-	- - - - -	001-999

DATA ELEMENTS

- A-NUMBER
- TERMINAL ID
- ACCESSION/BOX NUMBER
- INITIAL DATE
- LOCATION
- RESPONSIBLE PERSON
- LAST ACTIVITY DATE
- FLAGS

AFACS REPORTS/STATISTICS

- TRANSACTION SUMMARIES**
- MAJOR MOVEMENT COUNTS**
- A-FILE COUNTS BY LOCATION**
- AGING REPORTS BY LOCATION**
- STATISTICAL SUMMARIES BY TYPE A-FILE**

REPORT NUMBER AFRT240

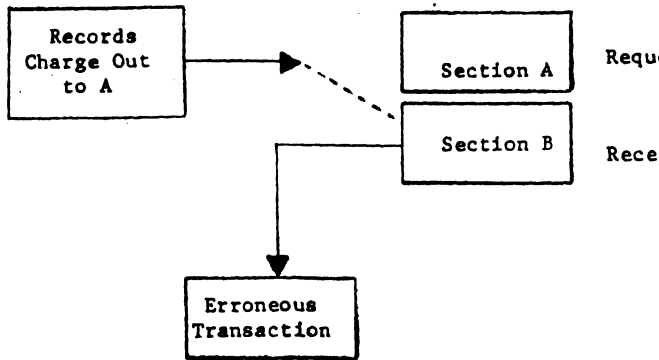
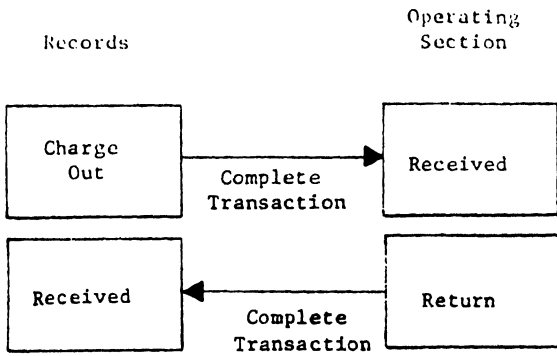
RUN DATE 08/19/85

IMMIGRATION AND NATURALIZATION SERVICE

A-FILE ACCOUNTABILITY AND CONTROL SYSTEM

CHARGEOUT BY RESPONSIBLE PARTY SUMMARY

SECTION TITLE	RESPONSIBLE PARTY	PHONE NUMBER	A-FILE COUNT
Investigations	Roger Box	612-438-2212	30
	Bob Smith	612-438-2213	21
SECTION TOTAL			51



PROJECT INFORM FY 85

CURRENT STATUS

HW INDEPENDENT

	MAS	NYC	CHI	LOS	MIA	SFR	MEM
SURVEY	Y	Y	Y	Y	Y	Y	N
CLEANUP	Y	Y,2	N/A	Y(1)	Y(1)	Y	Y
FPC	316K	1240K	613K	1010K (520K)	388K (150K)	838K (100K)	(800)
BARCODE	140K	1890K (400K)	568K	50K (900K)	(650)	(685K)	N/A
DEFINE HW & LOCATION	Y,Y	Y,Y	Y,Y	Y,Y	Y,N	Y,Y	N,A

HW DEPENDENT

RECEIVE HW
INSTALL S/W
BUILD DB
TRAIN/TURNOVER

ANALYT. HARDWARE

- 0 DATA PREPARATION OF 31% OF INS FILES COMPLETE - GOAL = 47%.
- 0 PRE-NUMBERED BARCODED FOLDERS SECURED.
- 0 BARCODED INDAC FOLDERS REFUSED.

Y

SHELF

FRC

MISFILE

F

SHELF FRC

S

140

316

X

X

2

2370

1260

3.3

535

3

566

615

.206

.043

5

1040

1450

.6

X

1

700

460

X

.106

2

730

1100

T

205

306

?

?

A

130

200

?

?

DATA/SYSTEM ADMINISTRATOR

RESPONSIBLE FOR EQUIPMENT

- OPERATION
- ACCESS
- MAINTENANCE CALLS
- "TROUBLE-SHOOT" PROBLEMS

PROCESSES REPORTS

- INITIATES JOBS
- INSURES DELIVERY

PROCESSES AUDITS (INPUT/OUTPUT)

PERFORMS DATABASE MAINTENANCE (REORGS, ETC.)

PERFORMS SYSTEM BACK-UPS

MAINTAINS CONTROL TABLES

- VALID SECTION ID'S
- VALID USER ID'S

24 Jan 1965

IMMIGRATION AND NATURALIZATION SERVICE
OFFICE AUTOMATION EQUIPMENT

Location	CMT Term	Printers		Barcode	Ward	Readers Laser	Prtbl	Tape	Disc
		Drft	Line						
Chicago	14	1	1	1	14	1	3	1	400
New York	34	1	1	2	34	3	3	1	600
Los Angeles	17	1	1	1	17	2	3	1	400
San Francisco	14	1	1	1	14	2	3	1	400
San Antonio	17	1	1	1	17	2	3	1	400
Washington	11	1	1	1	11	2	2	0	200
Central Office	2	1	1	1	2	1	1	1	100

Workshop on ACS/FARE Systems

Facilitators: Terry O'Reilly, Jerry Webster, Holly Clow, and Pat Bolinger,

FARES

A consensus from last year's conference was that the Service needs to upgrade its fee receipting equipment. Records and Information was interested in installing Servicewide electronic cash registers such as those in use in the Western Region. Exams was looking for a way to track initiation of cases. Both users took their needs to Data Systems who determined the solution to be an automated Fee and Applications Receipt and Entry System (FARES).

The goal of FARES is to provide automated support for receiving applications and producing fee receipts.

The objectives of FARES:

- capture basic case data;
- automatically generate fee receipts;
- improve accountability of money collected;
- improve the efficiency of the fee receipting process;
- provide statistical information;
- interface with ACS, NACS, DACS, FACS, and possibly other systems; and
- generate management reports.

Status of FARES:

- identified major functional requirements;
- completed system design;
- currently preparing for acceptance testing (August);
- prototype installation and implementation scheduled for late August, early September in Chicago (dependent upon new hardware availability); and

- fee and nonfee applications
- INS employees-transfer of accountability
 - cash bonds
 - FOIA/PA
 - miscellaneous collections
- generating individual and consolidated daily office registers;
 - improve speed and efficiency of verification process
- interfacing with ACS;
 - create a fee receipt based on the basic case record from ACS
- generating G-22 and G-23 initial receipt data;
- ensuring general, overall integrity of FARES data base;
 - security-protected and system generated fields
 - audit trail established for personnel responsible for collection of fees, cash bonds, FOIA/PA and miscellaneous collections (user I.D. at sign-on)
- improving public image.
 - responding to requests from management, Congress, and the general public for information relevant to applications received and case status.

Ongoing system improvements and requirements include:

- tracking of applications to reflect remoting location;
- hardware configuration;
 - automatic function to open cash drawers
 - automatic stamping of applications received
- tracking of case status reflecting five major processing steps:

<u>Processing step</u>	<u>Status code</u>
relocated/sent	L
pending investigation	I
returned	R
denied	D
approved	A

FARES will utilize a typewriter-type keyboard. The FARES Collection and Receipting Applications screen format appears in Exhibit A. FARES receipts will replace the acknowledgement currently used in NACS. FARES walk-in receipts and receipts for mail-in applications will automatically be generated (exhibit B).

The current status of FARES:

- identified major functional requirements Feb 85
- completed system design Apr 85
- currently preparing for acceptance testing Sep 85
- prototype in ERO RAC Oct 85
- analysis PC/system 36 version Oct 85
- evaluation IDMS FARE, comparison with PC/system Nov 85

FARES will eventually interface with the Adjudications Casework System (ACS). ACS capabilities include:

- case tracking;
- remoting;
- denial notification; and
- approval notification.

ACS is currently being redesigned, as the original design is too large for implementation in the field. FARES will be implemented before ACS but will not interface with Central Index until ACS is in operation. At that time, ACS will be accessed first and will automatically transfer to FARES and interface with Central Index. It is hoped that ACS will be ready for implementation at four locations by the second quarter of FY 86.

Eight forms to be used with ACS have been redesigned to:

- improve their appearance and readability;
- provide a logical sequence of questions;
- clarify and simplify instructions;
- meet requirements of operations;
- ensure compatability with automated systems; and
- standardize format and instruction.

The revised forms include the I-90, I-129F, I-130, I-140, I-485, and the I-129B which has been split into two forms (the I-129H and I-129L). The I-506 and I-539 have been consolidated into one form. These forms account for approximately 80% of the public burden.

All of the revised forms have a one side, 2 column format identical to the screen format. The forms will still be color coded, and should be in the field by 11/1/85. Obsolete versions of these forms will be destroyed.

This workshop emphasized the importance of user group feedback in the design of these two systems. As one speaker pointed out, "Records and Adjudications users should be the driving factor that defines what we want in the way of data processing systems." A 30-member ACS user group has been quite active in that system's design. The FARES user group feedback has come mainly from Central Office. It was suggested that feedback from the field be given to Pat Bolinger and Kay Carver who serve as user group representatives.

RECEIPT NO.: XXX XX XXX XXXX

NAME:	XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXX
NUMBER:	AA 999999999	D-O-B:	mm/dd/yy
SE-NO.:	XXXXXXXXXX	C-O-B:	XXXXX
MITTANCE TYPE:	XXX	AMOUNT PAID:	\$ 00.00
TRANSIT NO.:	999999999	FEE WAIVED:	X
MIF:	XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXX

ME: XXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXX
COMPANY: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
STREET: XXXXXXXXXXXXXXXXXXXXXXXXX
CITY/ST: XXXXXXXXXXXXXXXXXXXXXXX IN 99999-9999

PF6	PF7	PF8	PF9 PF10
MAIN MENU	CODES	LOGOFF	EXIT

UNITED STATES DEPARTMENT OF JUSTICE
IMMIGRATION AND NATURALIZATION SERVICE
XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX XX 99999-9999

DATE: mm/dd/yy
TIME: hh:mm

**** RECEIPT NO.:999 99 999 9999 ****

RECEIVED 9999999999 IN THE FORM OF XXXXXXXXXXXXX
FROM:

XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

APPLICANT:

XXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

FORM: XXXXX **FEE WAIVED::

CASE NO: XXXXXXXXXXXXXXXXXXXXXXXX
BUNDLE ID: XXXXXXXXX

PROCESSING YOUR FORM WILL REQUIRE APPROXIMATELY 999 DAYS. IF YOU HAVE
NOT HEARD FROM US BY THEN, CONTACT THIS OFFICE AT: 999-999-9999.

The Case Tracking System (CTS) began about a year ago and, through on-site visits and training, is now better understood and has met with much less reluctance than when first introduced. Exhibit A lists the primary functions of the CTS, and Exhibit B provides an overview, illustrating how integral CTS is to the operation of many other systems.

Exhibits C through J show exactly what the user sees on the screen when using CTS. To move from screen to screen, the user must come back to the menu (Exhibit C), put an "X" at the appropriate spot, and hit "ENTER."

Exhibit K lists the benefits to this system. Illustrating some of these benefits are Exhibits L through V, samples of the outputs from this system.

There is still a problem of the system skipping an acknowledgement letter. The reason for this is not clear, but it seems more likely to occur when a high number of pages are entered into the system at one time. The focus during the coming year will be on adding enhancements to the system. These include:

- generating final response replies automatically; and
- using summary reports by Central and Regional Offices to find out why "pendings" of 1 year or more have not been resolved.

Questions/Concerns

How long must requests be maintained in the active file?
For 5 years.

Why do INS fees remain constant when the cost per copy for duplicating has increased at other agencies? A recent DOJ survey determined that actual costs per copy was less than 10 cents. OMB is conducting a standard fee study to apply to all FOIA charges.

Why are there so many problems with passwords not working even after they have been issued? FOIA must enter the name of the user at Central Office, and sometimes a name is not entered correctly. Usually a phone call to John Sowders at CO (633-3278) can clear up the problem very quickly.

Why must a request for a printout be made three or four times? A revision to the user manual was distributed to all offices in February, 1985. This gives specific instructions on the use of ROPES.

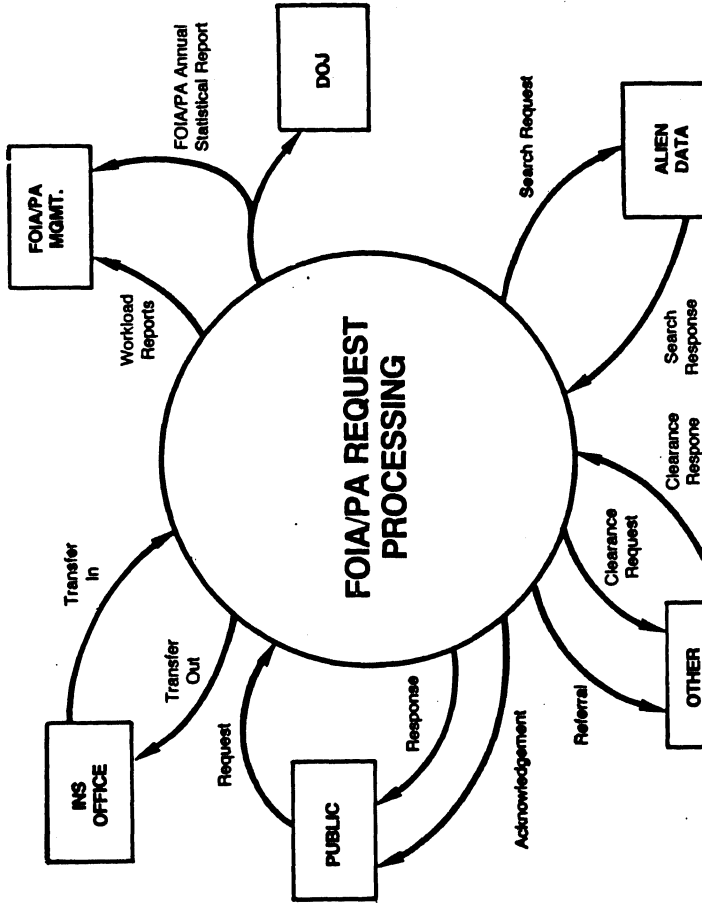
Who is allowed to issue a "denial?" Only the Deputy or District Director has this authority, unless it has been specifically delegated to another individual.

If an extension is granted, is this automatically reflected in the output for pending requests? Yes.

PRIMARY FUNCTIONS

- **CONTROL**
 - Create Control Records
 - Update Control Records
 - Transfer Control Records
- **ASSIST PROCESSING**
 - Generate Control Record (work sheet)
 - Generate Interim Reply
 - Generate Standard Correspondence
- **GENERATE REPORTS**
 - Display Individual Control Records
 - Display Pending Records
 - List (hard copy) Pending Records
 - FOIA/PA Annual Statistical Report

FOIA/PA CASE TRACKING SYSTEM



XMEN10

DIA/PA REQUEST TRACKING SYSTEM

MAIN SELECTION SCREEN

OFFICE CODE: CO

ESTABLISH CONTROL:

RECORD INTERIM ACTIONS:

RECORD FINAL ACTION:

DISPLAY REQUEST DATA:

DISPLAY PENDING REQUESTS:

CORRECT REQUEST DATA:

REQUEST REPORTS:

SELECTED DESIRED FUNCTION-PRESS ENTER

DIA/PA REQUEST TRACKING SYSTEM

ENTER CONTROL SCREEN

CONTROL NUMBER:

REQUESTOR OR SUBJECT NAME:

FIRST

MIDDLE

REQUEST TYPE:

REQUEST SOURCE:

INITIATED:

WAVES REQUESTED:

ASSIGNED TO:

FINAL REPLY DUE:

DATE RECEIVED:

EXTENSION GRANTED:

SUBJECT:

SUBJECT NUMBER:

REMARKS:

GENERATE WORK SHEET:

GENERATE ACKNOWLEDGEMENT:

ENTER CONTROL INFORMATION PRESS ENTER

LEAD21

FOIA/PA REQUEST TRACKING SYSTEM

ENTER ADDRESS SCREEN

RESPONDEE ADDRESS:

ADDRESS LINE 1:

ADDRESS LINE 2:

ADDRESS LINE 3:

ADDRESS LINE 4:

CITY:

STATE:

ZIP CODE:

KEY IN ADDRESS-PRESS ENTER

DIA/PA REQUEST TRACKING SYSTEM

RECORD FINAL ACTION SCREEN

CONTROL NUMBER:

REQUESTOR OR SUBJECT NAME:

LAST

FIRST

MIDDLE

DATE OF ACTION:

TYPE ACTION:

ADJUDICIAL INFORMATION:

EXEMPTION APPLIED:

REVIEWED BY — NAME:

STATUTE CITED:

TITLE:

TRANSFER OR REFERRAL INFORMATION:

TRANSFERRED TO:

REFERRED TO:

ADJUDICIAL INFORMATION:

FEDERAL 1/4 HRS:

SEARCH FEE: \$

NON-CLERICAL 1/4 HRS:

COPIES:

EXEMPTION WAIVER GRANTED:

COPY FEE: \$

FEE CHARGED: \$

FEE COLLECTED: \$

ENTER CONTROL NUMBER — PRESS ENTER

XDCT50

DIA/PA REQUEST TRACKING SYSTEM

DISPLAY CONTROL SCREEN

CONTROL NUMBER: (BLANK FOR NAME SEARCH)

REQUESTOR OR SUBJECT NAME:

FIRST MIDDLE

REQUEST TYPE: REQUEST SOURCE:

CITED:

WAIVER REQUESTED: FEE WAIVER GRANTED:

ASSIGNED TO:

DATE RECEIVED: 00/00/00

DATE ACKNOWLEDGED: 00/00/00

EXTENSION GRANTED:

TEST ACTION DATE: 00/00/00

LATEST ACTION TYPE:

SUBJECT:

SUBJECT NUMBER: 00/00/00

REMARKS:

FPXNAM51

FOIA/PA REQUEST TRACKING SYSTEM

NAME SEARCH SCREEN

SEARCH CONDITIONS:

LAST NAME:

FIRST NAME:

OFFICE CODE: (ALL=ALL OFFICES, BLANK=ONLY YOUR OFFICE)

STATUS: (P=PENDING ONLY, C=CLOSED ONLY, BLANK=ALL REQUESTS)

CONTROL * DATE RECVD SUBJECT A—NUMBER

KEY IN SEARCH CONDITION(S) — PRESS ENTER

FPXSPR60

FOIA/PA REQUEST TRACKING SYSTEM

SELECT PENDING SCREEN

BEGINNING DUE DATE:

ENDING DUE DATE:

ACTION OFFICER:

ENTER BEGINNING DATE ONLY TO SELECT A SPECIFIC DUE DATE

ENTER BEGINNING AND ENDING DATES TO SELECT A RANGE OF DUE DATES

LEAVE BOTH DATES BLANK TO SELECT ALL PENDING REQUESTS

KEY IN DATE SEARCH CONDITIONS-PRESS ENTER-PF10 FOR PRINTED REPORT

FPXRPT80

FOIA/PA REQUEST TRACKING SYSTEM REPORT REQUEST SCREEN

OFFICE CODE: CO

STATISTICAL REPORT:

BEGINNING DATE OF REPORT PERIOD:

ENDING DATE OF REPORT PERIOD:

PENDING SUMMARY REPORT:

ENTER REPORT SELECTION CRITERIA-PRESS ENTER

PROJECT BENEFITS

- **IMPROVED CONTROL**
- **IMPROVED REPORTING CAPABILITY**
- **REDUCED MANUAL EFFORT**
- **IMPROVED ACCURACY AND TIMELINESS**

JOHN A WRIGHT
107 I STREET, NW
WASHINGTON, DC 20064

SUBJECT : YOURSELF

AR REQUESTOR:

RECEIVED YOUR REQUEST FOR INFORMATION FROM THE IMMIGRATION AND
TURALIZATION SERVICE ON

UR REQUEST IS BEING CONSIDERED UNDER THE PROVISIONS OF THE
EEDOM OF INFORMATION ACT AND/OR THE PRIVACY ACT, AS APPROPRIATE
HAVE ASSIGNED YOUR REQUEST THE FOLLOWING FOIA/PA CONTROL NUMBE
850595. PLEASE REFER TO THIS NUMBER ON ANY FURTHER COMMUNICATI
GARDING THIS REQUEST.

WILL ANSWER YOUR REQUEST AS QUICKLY AS POSSIBLE. HOWEVER, DUE
NY CIRCUMSTANCES IT MAY TAKE LONGER TO COMPLY WITH YOUR REQUEST
AN WE CAN DETERMINE AT THIS TIME.

ES MAY BE CHARGED FOR SEARCHING FOR RECORDS AND/OR REPRODUCING
PIES. THE FEE RATES ARE \$1.00 PER QUARTER HOUR (CLERICAL TIME)
D \$2.00 PER QUARTER HOUR (NON-CLERICAL TIME) TO SEARCH FOR RECO
E COST FOR COPIES IS \$.10 PER PAGE. FEES ARE WAIVED WHENEVER TH
TAL COSTS ARE UNDER \$3.00.

WILL ASSUME THAT YOU ARE WILLING TO PAY FEES UP TO \$25.00. IF
EASE CONTACT US IMMEDIATELY. IF IT IS ANTICIPATED THAT FEES WIL
CEED \$25.00, WE WILL NOTIFY YOU AND GET YOUR AUTHORIZATION BEFO
OCEEDING FURTHER WITH YOUR REQUEST.

NCERELY,

DATE DUE : 07/0

DATE/NAME	*	ACTION
-----------	---	--------

FOIA AND PRIVACY ACT REQUEST TRACKING SYSTEM
 PENDING REQUEST REPORT

EXHIBIT N

RU.

TYPE	CONTROL NUMBER	DATE FINAL REPLY DUE	DATE RECEIVED	DATE ACKNOWLEDGED	SUBJECT/REQUESTOR NAME	
	CO 840002	11/07/79	10/24/79	00/00/00	WINTER	MR
	CO 840004	12/03/80	11/19/80	00/00/00	ABT	GE
	CO 840005	01/20/81	01/06/81	00/00/00	FRIEDMAN ARIYEH S.	MR
	CO 840006	06/16/81	06/02/81	00/00/00	GUTIERREZ	MR
	CO 840007	07/16/81	07/02/81	00/00/00	DAVIS	MR
	CO 840008	08/17/81	08/03/81	00/00/00	LKHAN	MR
	CO 840009	10/05/81	09/21/81	00/00/00	GRUBBS	GC
	CO 840010	10/22/81	10/08/81	00/00/00	GRUBBS	GC
	CO 840011	10/30/81	10/16/81	00/00/00	KAPLAN	MR
	CO 840013	05/17/82	05/03/82	00/00/00	BONILLA-LULAC	MR
	CO 840014	07/05/82	06/21/82	00/00/00	SIEGEL	MR
	CO 840015	07/08/82	06/24/82	00/00/00	SIEGEL	MR
	CO 840016	07/09/82	06/25/82	00/00/00	TREVINO	MR
	CO 840017	08/04/82	07/21/82	00/00/00	FENSTERWALD	AN
	CO 840018	08/04/82	07/21/82	00/00/00	FENSTERWALD	AN
	CO 840019	08/04/82	07/21/82	00/00/00	FENSTERWALD	AN
	CO 840020	08/09/82	07/26/82	00/00/00	CHAMBERLAIN	MR
	CO 840021	10/04/82	09/20/82	00/00/00	NO NAME	CA
	CO 840022	12/07/82	11/23/82	00/00/00	DOUGLAS	JN
	CO 840026	01/05/83	12/22/82	00/00/00	KENYON	JN
	CO 840027	01/10/83	12/27/82	00/00/00	NO NAME	JN
	CO 840028	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840029	01/13/83	12/30/82	00/00/00	NO REQUESTER NAME	JN
	CO 840030	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840031	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840032	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840033	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840034	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840035	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840036	01/13/83	12/30/82	00/00/00	SCHEY	JN
	CO 840037	01/27/83	01/13/83	00/00/00	SCHEY	JN
	CO 840039	02/23/83	02/09/83	00/00/00	QADERI	JN
	CO 840042	03/15/83	03/01/83	00/00/00	GREER	JN
	CO 840043	03/30/83	03/02/83	12/09/84	SCOGGIN	JN
	CO 840044	03/24/83	03/10/83	12/09/84	WILLIAM	JN
	CO 840045	04/21/83	04/07/83	12/09/84	HUDESTON	JN
	CO 840046	05/05/83	04/21/83	12/09/84	SIMS	JN
	CO 840047	05/10/83	04/26/83	12/09/84	SMITH	JN
	CO 840049	05/24/83	05/10/83	12/09/84	PARAS	JN
	CO 840051	06/01/83	05/18/83	12/09/84	HOLL	JN
	CO 840052	06/01/83	05/18/83	12/09/84	HOLL	JN
	CO 840055	06/27/83	06/13/83	12/09/84	GALONIS	JN
	CO 840056	07/05/83	06/21/83	12/09/84	NIEDERMAN	JN
	CO 840057	05/25/83	05/11/83	12/09/84	SMITH	JN
	CO 840058	07/06/83	06/22/83	12/09/84	HIG	JN
	CO 840060	07/20/83	07/06/83	12/09/84	NIEDERMAN	JN

FOIA AND PRIVACY ACT REQUEST TRACKING SYSTEM
STATISTICAL REPORT FOR REQUESTS PROCESSED FOR ALL OFFICES
FROM 06/01/85 THROUGH 06/30/85
ON DATE : 07/11/85 REQUESTED BY : J. SOWDER

EXHIBIT 0

FOIA REQUESTS BY TYPE OF INFORMATION ACT REQUESTS

REQUESTS COUNT :

1. UNPROCESSED REQUEST AT BEGINNING OF REPORT PERIOD.....	34
2. REQUESTS RECEIVED DURING REPORT PERIOD.....	8
TOTAL REQUESTS.....	42

DISPOSITION OF REQUESTS :

3. DETERMINATIONS TO PROVIDE ALL RECORDS.....	5
4. DETERMINATIONS TO PROVIDE PART OF THE RECORDS.....	1
5. DETERMINATIONS NOT TO PROVIDE ANY OF THE RECORDS.....	
6. CLOSED FOR OTHER REASONS	
A. REQUESTORS FAILURE TO IDENTIFY RECORDS.....	
B. REQUESTORS REFUSAL TO PAY FEES.....	
C. NON POSSESSION OF RECORDS.....	1
D. REFERRAL TO OTHER AGENCY.....	
E. REQUESTORS REFUSED TO COMPLY WITH OTHER REQUIREMENTS.....	
F. REQUESTS WITHDRAWN.....	
G. DUPLICATE REQUESTS.....	
H. FOIA NOT APPLICABLE TO REQUEST.....	
TOTAL E THROUGH H.....	1
TOTAL A THROUGH H.....	3
7. REQUESTS NOT PROCESSED AT END OF REPORTING PERIOD.....	32
TOTAL ITEMS 3 THROUGH 7.....	42

EXEMPTIONS CITED IN 552(B)

EXEMPTION (1).....	0
EXEMPTION (2).....	7
EXEMPTION (3).....	1
EXEMPTION (4).....	0
EXEMPTION (5).....	39
EXEMPTION (6).....	52
EXEMPTION (7)(A).....	10
EXEMPTION (7)(B).....	2
EXEMPTION (7)(C).....	78
EXEMPTION (7)(D).....	9
EXEMPTION (7)(E).....	0
EXEMPTION (7)(F).....	0
TOTAL.....	198

STATUTES INVOKED PURSUANT TO EXEMPTION (3)

TOTAL.....	
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ARE AND TITLE OF PERSONS RESPONSIBLE FOR INITIAL DENIAL

OS J J MCNEILL	LEGAL TECH	4
OS J. J. MCNEILL	LEGAL TECH	1
OF FERRO	DD	3
HI CHARLES R. MIDBY	ADDN	5
0 A.N.	REV. OFC	12
EN JCMARAVILLA	CORRESP CLKK	3
EN JMARAVILLA	CORRESP CLK	1
ET JAMES H. MONTGOMERY	DISTRICT DIRECTOR	2
LP A.H.GIUGNI	DD	3
LG DAVID G. TURNER, JR	ADD	8
LG OMER G. SEWELL	DD	10
OU PAUL B O'NEILL	DISTRICT DIRECTOR	2
OU PRO'NEILL	DIST DIR	6
OU RICHARD H GULLAGE	ACT DIST DIRECTOR	2
OS EEG	DD	1
OS EG	DD	2
OS ERNEST GUSTAFSON	DD	6
OS ERNEST GUSTAFSON JR	DD	1
OS ORILLE J CHARLES	ACTING DD	1
IA RIVKIND	DISTRICT DIRECTOR	2
YC CHARLES C. SAVA	DD	22
YC JAMES A. JASEY	ADD	2
FR ILCHERT	DD	17
PD JAMES O'KEEFE	ARC	2
PM GERALD L COYLE	DISTRICT DIRECTOR	1
TA GURMAN HENRY	OIC	1
AS RBN	DD	2

ACT REQUESTS

P

EXHIBIT R

S COUNT :

PROCESSED REQUEST AT BEGINNING OF REPORT PERIOD.....	988
REQUESTS RECEIVED DURING REPORT PERIOD.....	332

TOTAL REQUESTS.....	1320
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TION OF REQUESTS :

TERMINATIONS TO PROVIDE ALL RECORDS.....	259
TERMINATIONS TO PROVIDE PART OF THE RECORDS.....	13
TERMINATIONS NOT TO PROVIDE ANY OF THE RECORDS.....	0

CLOSED FOR OTHER REASONS

REQUESTORS FAILURE TO IDENTIFY RECORDS.....	2
REQUESTORS REFUSAL TO PAY FEES.....	1
NON POSSESSION OF RECORDS.....	44
REFERRAL TO OTHER AGENCY.....	24
REQUESTORS REFUSAL TO COMPLY WITH OTHER REQUIREMENTS.....	10
REQUESTS WITHDRAWN.....	4
DUPLICATE REQUESTS.....	3
FOIA NOT APPLICABLE TO REQUEST.....	4

TOTAL E THROUGH H.....	21
TOTAL A THROUGH H.....	92

REQUESTS NOT PROCESSED AT END OF REPORTING PERIOD.....	956
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TOTAL ITEMS 3 THROUGH 7.....	1320
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NUMBER OF REQUESTS FOR AMENDMENTS TO RECORDS.....	1
NUMBER OF DETERMINATIONS TO AMEND THE RECORDS.....	1
NUMBER OF DETERMINATIONS TO AMEND THE RECORDS IN PART.....	0
NUMBER OF DETERMINATIONS NOT TO AMEND THE RECORDS.....	0

NO STATUTES FOR PA

	FOIA	PRIVACY	TOTAL
MANHOURS.....			
COSTS OF SERVICES....			
OTHER COSTS.....			
TOTAL COSTS.....			
FEES ASSESSED.....	\$5.00	\$0.00	\$5.00
FEES COLLECTED.....	\$5.00	\$0.00	\$5.00
FEES ASSESSED BUT NOT COLLECTED..	\$0.00	\$0.00	\$0.00

AND PRIVACY ACT REQUEST TRACKING SYSTEM
 ARY OF PENDING REQUESTS
 DATE : 07/11/85 REQUESTED BY : J SOWDER

EXHIBIT U

ICE	0-30 DAYS	31-60 DAYS	61-90 DAYS	91-180 DAYS	181-360 DAYS	360 + DAYS	TO
	0	0	0	0	0	0	
	14	7	0	1	0	0	
	7	6	0	1	1	0	
	5	1	5	10	5	0	
	1	0	0	1	0	0	
	0	0	0	0	0	0	
	0	0	0	0	0	0	
	25	27	45	66	66	68	
	252	299	188	325	272	189	
	0	0	0	0	0	0	
	0	0	0	0	0	0	
	0	0	0	0	0	0	
	0	0	0	0	0	0	
	1	0	0	0	0	0	
	2	0	0	0	0	0	
	1	2	0	0	0	0	
	41	32	19	41	25	1	
	0	2	1	0	0	0	
	20	6	3	13	32	59	
	1	0	0	0	0	0	
	3	4	4	4	2	0	
	1	1	1	0	0	0	
	2	5	5	6	1	0	
	0	0	0	0	0	0	
	0	0	0	0	0	0	
	1	1	1	2	0	0	
	0	0	0	0	0	0	
	0	0	1	2	0	0	
	23	10	9	4	3	4	
	0	1	1	0	0	0	
	10	19	15	24	1	0	
	7	2	1	5	0	0	
	1	0	0	0	0	0	
	0	1	2	0	0	0	
	5	12	3	2	0	0	
	3	2	5	6	0	0	
	0	0	0	1	0	0	
	0	7	7	12	13	12	
	7	18	5	4	0	0	
	1	1	0	0	0	0	
	2	6	3	11	18	4	
	2	2	9	36	29	45	
	4	2	0	0	0	0	
	0	0	0	0	0	0	
	25	28	32	78	70	66	

AND PRIVACY ACT REQUEST TRACKING SYSTEM
 RY OF PENDING REQUESTS
 DATE : 07/11/85 REQUESTED BY : J SOWDER

EXHIBIT V

CE	0-30 DAYS	31-60 DAYS	61-90 DAYS	91-180 DAYS	181-360 DAYS	360 + DAYS	TOT
	72	43	18	28	24	31	2
TOTAL	352	376	257	445	367	258	26
TOTAL	74	64	47	62	39	63	3
TOTAL	44	66	61	150	148	128	5
TOTAL	204	172	157	215	118	18	8
L	746	721	540	900	696	548	41

Facilitators: Harlin Keister and Bill Polli

Mr. Keister presented an 18-minute publication video on INS automated systems. The video looked at how five computer systems, CIS, NIIS, STSC, NAILS, and ASIS, are intended to fit together. Mr. Alan Nelson, Commissioner of INS, narrated.

Due to the ease of travel and the generous immigration policy of the U.S., the last 5 to 10 years have brought an influx of aliens and a dramatic increase in the need for resources, particularly automation capabilities. The success of INS depends on the accuracy of its records, and so these new systems are more necessary than ever.

The Central Index System (CIS) is a centralized data base of information which:

- serves as a control center to identify all aliens who enter the U.S.;
- is menu-driven;
- assists in referencing other data bases that contain alien data;
- is user-friendly;
- eliminates excessive handling of paper A-files; and
- is capable of cross referencing, tracking records between offices, and performing extensive file searches.

An A-File can be identified to the system by:

- exact name;
- "soundex" on name and aliases;
- alien number;
- AA number for aliens born in a city outside the U.S. or its possessions;
- D.A. number for people who became citizens after birth;
- C number--only for those people naturalized between September 1, 1906, and March 31, 1956. This number is on their certificate of naturalization;
- Social Security number; and
- Name, exact or soundex, and range of birthdate.

includes status and dates of arrival and departure;

- was implemented in January, 1983, with the revised I-94 form;
- requires non-microfilming;
- has a database composed of I-94's collected and processed on magnetic tapes;
- reduces paperwork;
- improves accuracy of captured data;
- is on-line to field offices to the central office;
- streamlines handling procedures;
- produces reports based on accurate, timely data;
- provides support to other federal agencies such as:
 - Department of Commerce
 - FBI and other intelligence agencies
 - Health & Human Services
 - State Department
 - Department of Labor
- processes, stores, and disseminates large volumes of information;
- has performed 33 million transactions;
- contains 18 million on-line accessible records available on days of arrival or departure; and
- performs 400,000 new transactions weekly.

National Automated Immigration Look-Out (NAILS):

- serves to detect inadmissible persons or those of particular interest to INS and other agencies;
- will soon be on-line with CIS;
- is accessible from any INSINC terminal;
- is an automated version of the Service Look-Out book;
- has easy to use search options;
- retrieves information in 3 seconds or less;

Emergency lookouts can be entered directly into the system by Central Office inspectors. Routine lookouts are handled by G-143 forms.

Anti-Smuggling Information System (ASIS) is a centralized, automated data base of information about people who are known or suspected to be smuggling aliens into the U.S., or to be assisting aliens to remain in the U.S. ASIS:

- assists in apprehending smugglers;
- deters illegal entry into the U.S.;
- holds criminal intelligence and records;
- allows entry and storage of corroborated or non-corroborated information;
- allows servicewide dissemination about smugglers;
- provides information on individuals, conveyances, addresses, telephone numbers, organizations, and incidents; and
- is menu driven, like CIS.

ASIS' four major functions:

- Updating or creating data base records;
- Retrieving of data base records;
- Reporting data base statistics; and
- Correlating data base records--a function unique to ASIS.

ASIS provides these major benefits:

- Deters Smuggling;
- The border patrol can rely on its criminal records to deter smugglers;
- Intelligence agencies can rely on its criminal intelligence support;
- To INS field users, the Canadian and Mexican borders are focal points; and
- Prompt, all night access to current, reliable data.

Like CIS, ASIS can be accessed at various levels, depending on an individual employee's position and responsibilities.

Finally, the Student School System (STSC) provides timely, on-line information on the arrival, departure, and status of non-immigrant students (groups or individuals), schools, or designated school officials.

STSC's four general functions:

- Creates and updates computer information on non-immigrant students and schools;
- Provides computer terminal access on individuals;
 - identifies foreign students and INS-approved schools;
 - searches database for aliens by family name or soundex;
 - searches data base by admission number;
 - searches data base for approved schools and officials;
 - generates standard and ad hoc reports, in particular, 14 regularly scheduled reports, which would be impossible by hand; and
 - provides microfilm index numbers of additional information on students and schools

STSC's Major Applications:

- examinations and information can be double checked;
- INS enforcement allows the border patrol and criminal investigators to check for fraudulent identification; and
- statistical research--several organizations require statistical information: Congress, the State Department, the FBI, and the Department of Defense.

The great strengths of STSC are its variety of capabilities, its speed, and its accuracy.

After showing this video, Mr. Keister provided an introduction to the Central Index System. Although the system will probably be accessible to INS employees by August 15, 1985, most employees will not have received training by then, so the Master Index, MIRAC, will continue to be available for use.

Training

- 25 regional representatives have been trained who will train others.
- User manuals and training manuals are available, although not for every one of the 8,000 employees.
- The manual could train by itself.
- Mr. Keister hopes to generate 3,000 breast pocket manuals as well, after user manual documentation changes are made.

data elements shown on this screen will only be available and display information if data was available at conversion. Otherwise, they are filled in when records are added.

The next page shows the video screen you will see when performing a search on CIS. Note that:

- the screen shows the system name, the time, and the date;
- there is a standard message line at the bottom of the screen;
- the standard PF keys appear at the bottom of the screen;
- PF-5 is the "Help" key which will present you with information on what the screen is asking for and how you should work with it;
- a subsystem list consists of eight acronyms read vertically;
- an "x" appears under the column for which LIS contains subsystem information on that person;
- when you display a subsystem record, you will find the information on that individual as summarized and transmitted to the CIS by that subsystem; and
- the three acronyms on the right refer to the second page of the file, the Status History Page, or the "RAP" Sheet. For example, if there was a violation, an x will also appear under the violator's column.

CIS MAIN MENU

(91) SEARCH MENU

- (1) ID #:
(A/AA/C/DA/DL/FB/FP/I/
PP/TD/SS)
- (2) SOUNDS-LIKE NAME
- (4) EXACT NAME
- (5) AKA (ALIAS) NAME
- (92) DATA DISPLAY MENU
- (93) ADD TRANSACTIONS MENU
- (94) RECORD MAINTENANCE MENU
- (95) A-FILE TRANSFER SUB-SYSTEM MENU

(92) DATA DISPLAY MENU

- (01) PERSONAL DESCRIPTION DATA
- (02) AKA NAMES
- (03) SUBSTITUTE FILE CREATION (SFCO)
- (11) DISPLAY DATA IN CIS FROM ASIS
- (12) DISPLAY DATA IN CIS FROM DACS
- (13) DISPLAY DATA IN CIS FROM LCIS
- (14) DISPLAY DATA IN CIS FROM NACS
- (15) DISPLAY DATA IN CIS FROM STSC
- (21) STATUS/HISTORY DATA
- (22) ARR/BC CARD DATA (FROM ADIT)
- (91) SEARCH THE DATABASE
- (93) ADD TRANSACTIONS MENU
- (94) RECORD MAINTENANCE MENU
- (95) A-FILE TRANSFER SUB-SYSTEM MENU

(93) ADD TRANSACTIONS MENU

- (01) NEW FILE (NF)
- (02) VERIFY NEW FILE ADD (VERF)
- (11) NATZ STUB (NS)
- (12) DERIVATIVE CITIZENSHIP (DR)
- (13) FIRST ENTRY CITIZEN CHILD (CH)
- (14) EXPATRIATION (EP)
- (15) REPATRIATION (RP)
- (16) CHANGE OF CLASS (COA)
- (21) APPL CREWMAN LANDING PERMIT (CU)
- (22) DENIAL CREW LAND PERMIT (DA)
- (23) STOWAWAYS (ST)
- (24) CREWMAN DESERTS IN CANADA (CD)
- (25) BORDER CROSSING CARD (BCC)
- (31) DENIAL OF BCC (CMBR)
- (32) APPREHENSION (AN)
- (41) CRIMINAL IMM NARC SURV (CHRS)
- (42) DEPORTATION (DD)
- (43) FAILURE TO DEPART (DE)
- (44) PROSECUTION
- (91) SEARCH THE DATABASE
- (92) DATA DISPLAY MENU
- (94) RECORD MAINTENANCE MENU
- (95) A-FILE TRANSFER SUB-SYSTEM MENU

(94) RECORD MAINTENANCE MENU

- (01) A-FILE CONSOLIDATION (CONS)
- (02) INDICATE DUPL RECORDS (XCON)
- (03) SUBSTITUTE FILE CREATION (SFCO)
- (11) PERSONAL DESCRIPTION DATA MAINT
- (12) ALIAS MAINTENANCE
- (13) STATUS/HISTORY MAINTENANCE
 - NATZ STUB (NS)
 - DERIVATIVE CITIZENSHIP (DR)
 - FIRST ENTRY CITIZEN CHILD (CH)
 - EXPATRIATION (RP)
 - CHANGE OF CLASS (COA)
 - APPL CREWMAN LANDING PERMIT (CU)
 - DENIAL CREW LAND PERMIT (DA)
 - STOWAWAYS (ST)
 - CREWMAN DESERTS IN CANADA (CD)
 - BORDER CROSSING CARD (BCC)
 - DENIAL OF BCC (CMBR)
 - APPREHENSION (AN)
 - CRIMINAL IMM NARC SURV (CHRS)
 - DEPORTATION (DD)
 - FAILURE TO DEPART (DE)
 - PROSECUTION
- (31) MODIFY DATA IN CIS FROM ASIS
- (32) MODIFY DATA IN CIS FROM DACS
- (33) MODIFY DATA IN CIS FROM LCIS
- (34) MODIFY DATA IN CIS FROM NACS
- (35) MODIFY DATA IN CIS FROM STSC
- (91) SEARCH THE DATABASE

(95) A-FILE TRANSFER SUB-SYSTEM MENU

- (01) FTR - FILE TRANSFER REQUEST
- (02) FTR - FILE TRANSFER INDICATOR
- (03) FTR - FILE TRANSFER CONFIRMATION
- (04) FTR - FILE TRANSFER DISPLAY
- (05) FTR - FILE TRANSFER MAINTENANCE
- (06) FTR - FILE TRANSFER PROLOGUE
- (07) FTR - FILE TRANSFER TO/FROM
- (91) SEARCH THE DATABASE
- (92) DATA DISPLAY MENU
- (93) ADD TRANSACTIONS MENU
- (94) RECORD MAINTENANCE MENU

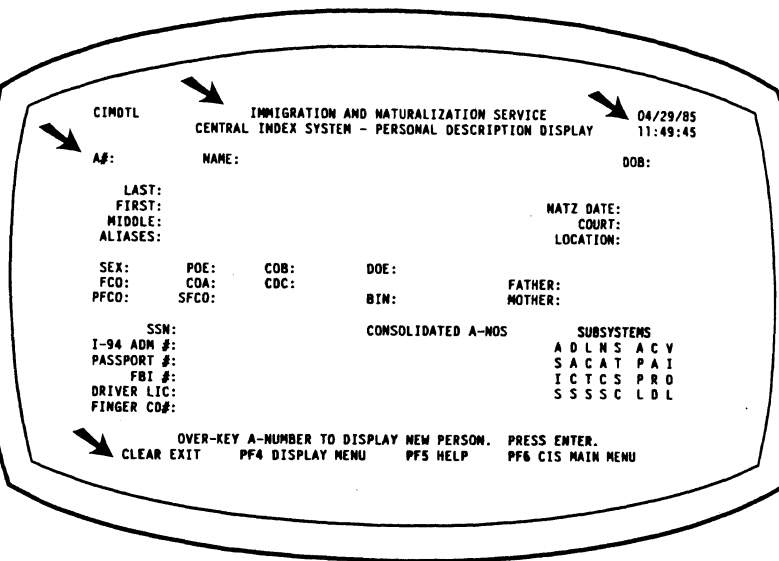


Figure 2. CIS Screen Design

1.1.3 HELP in Navigating the Central Index System

The Central Index System is user-friendly. Each screen provides directions for completing the screen, for returning to a previous screen or to the Main Menu, and for exiting from the system. In addition messages are displayed at the bottom of the screen if the

Sid Massey Stuart Davis

IMDAC, the Immigrant Data Collection Project, is an automated system for processing the arrivals and adjustments of immigrants to the United States.

The tables on the following pages show the numbers of aliens admitted to the U.S., the numbers of adjustments, and the time required for processing those new arrivals and adjustments.

INS is now processing 90% of the visa documents within 28 days. These statistics are good and meet the goals that INS has set for itself. The table of new arrivals shows that the largest number of visas arrive for processing during the month of March, whereas January is the month with fewest arrivals.

Adjustments are processed at a slower rate due, to mailing delay and an 8-day processing cycle. So far this year, 147,027 adjustments have been processed, with Los Angeles producing the largest number.

Problems with IMDAC

- For difficulties in any computer systems, call 633-1851. This number will be answered 24 hours a day, 7 days a week. The personnel answering the line will either solve your problem immediately, or will give you a control reference number for your problem and call you back with a solution.
- Mail was a problem last year, but several new procedures have been implemented and should improve the mailing system.
- Both FCO's and IMDAC are doing the work to create files. Hopefully the Central Index System will solve this inefficiency.

VISA DOCUMENTS ARE RECEIVED AND PROCESSING COMPLETED
WITHIN 28 CALENDAR DAYS.

Days	Number of Visas
0-28	287,196
29- 28 35	10,823
36-42	3,956
43-56	2,221
57-70	530
71-84	323
85-98	109
99 +	308

IMMIGRANT ALIENS ADMITTED UNDER THE IMMIGRATION AND NATIONALITY ACT
BY FILE CONTROL OFFICE AND MONTH
TABLE COMPILED JULY 15, 1985-Continued

VALUES(VISAS)

Total	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG
1,185	95	133	141	125	114	145	177	142	113	-	-
612	64	62	82	64	55	60	76	73	76	-	-
541	45	214	285	223	205	72	62	70	60	-	-
2,229	278	408	767	409	241	263	254	259	232	1	1
4,542	699	634	667	645	710	530	801	803	519	1	1
6,427	162	128	147	136	112	139	207	172	196	11	1
1,399	104	127	174	147	119	116	146	130	196	1	1
1,332	188	188	219	176	169	238	219	243	196	1	1
13,469	1,385	1,376	1,511	1,221	1,351	1,140	1,587	1,853	1,443	32	32
1,018	113	92	117	106	122	143	121	153	144	1	1
1,018	190	164	157	129	126	191	163	190	185	1	1
6,302	533	531	578	588	661	914	761	930	755	21	21
1,908	222	183	326	187	172	237	231	232	208	49	49
3,301	370	310	326	338	346	404	403	444	351	23	23
3,973	527	334	427	415	403	464	467	474	495	12	12
2,555	330	310	321	257	209	288	284	279	271	1	1
2,733	288	313	358	233	266	324	350	330	42	1	1
437	52	42	61	47	35	50	54	53	53	1	1
4,528	513	508	575	373	557	485	472	521	524	9	9
6,147	546	563	734	759	644	764	717	607	607	52	52
1,108	130	110	117	98	124	122	141	130	133	1	1
627	81	61	72	84	69	69	59	68	64	1	1
35,425	3,445	3,569	4,053	3,363	3,642	4,234	4,098	4,585	4,418	22	22
1,594	165	164	203	165	169	167	178	204	164	1	1
1,991	115	101	119	90	110	109	93	138	116	1	1
12,654	1,293	1,389	1,480	1,083	1,231	1,581	1,551	1,559	1,455	11	11
1,136	149	90	115	119	113	161	117	158	113	1	1
13,951	1,279	1,376	1,518	1,223	1,455	1,851	1,830	2,030	1,378	27	27
1,684	175	195	178	197	173	202	204	167	193	5	5
53,699	5,734	5,389	6,157	5,240	5,306	7,156	6,595	7,135	4,960	55	55
812	83	136	96	46	77	109	75	85	100	2	2
1,003	102	103	133	93	97	115	121	118	116	3	3
3,354	395	356	439	333	331	465	414	517	349	17	17
2,653	314	252	301	246	290	280	287	346	335	4	4
899	110	89	130	74	84	104	81	137	87	1	1
2,233	223	15	24	28	21	23	23	30	30	1	1
1,438	152	145	159	96	135	188	178	207	152	1	1
1,021	93	84	39	49	44	149	134	137	103	1	1
416	36	58	39	29	44	37	46	48	57	1	1
1,677	26	15	11	20	77	71	23	80	66	1	1
1,583	67	167	171	183	149	217	185	277	181	1	1
1,683	267	188	171	193	175	217	180	277	181	1	1
4,118	461	394	491	442	467	505	521	491	340	3	3
1,135	576	423	518	448	573	694	638	638	670	3	3
25,718	2,820	2,516	2,954	2,358	2,953	3,163	3,025	3,192	2,711	4	4
2,051	205	159	219	261	249	283	258	218	202	1	1
3,121	316	319	382	272	313	409	390	394	332	1	1
632	65	56	78	90	71	68	74	65	65	1	1
4,461	26,404	25,079	28,573	24,071	25,793	31,636	30,116	32,396	26,712	251	251

ADJUSTMENT DOCUMENT REFLECT A MUCH SLOWER PROCESSING TIME FROM APPROVAL TO COMPLETION AT IMDAC DUE TO THE TWO-STEP PROCESS. ONLY 52% OF THESE TRANSACTIONS ARE COMPLETED WITHIN 28 DAYS.

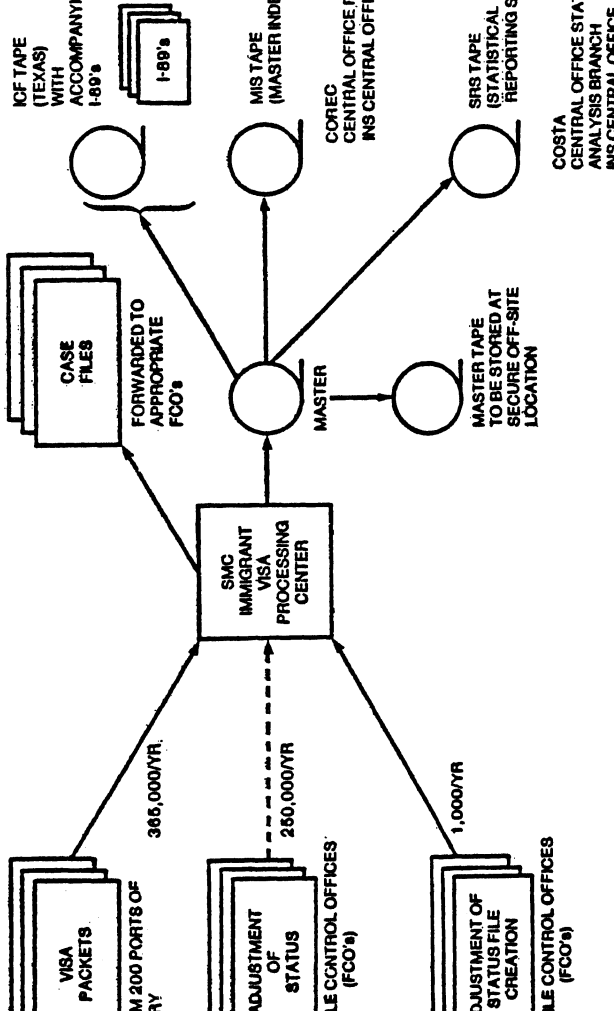
Days	Number of Adjustments
0-28	68,668
29-35	16,793
36-42	12,418
43-56	15,215
57-70	7,288
71-84	3,781
85-98	1,886
99 +	5,982

IMMIGRANT ALIENS ADMITTED UNDER THE IMMIGRATION AND NATIONALITY ACT
BY FILE CONTROL OFFICE AND MONTH
TABLE COMPILED JULY 15, 1985-Continued

ENTS

	Total	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	S
.....	144	256	19	14	16	27	17	8	17	1	-	-	-
.....	251	44	203	15	53	48	56	33	28	2	-	-	-
.....	192	44	23	33	19	2	13	33	11	14	-	-	-
.....	2,561	417	375	314	256	335	311	339	206	153	-	-	-
.....	2,744	417	387	411	270	332	291	344	206	167	-	-	-
.....	4,250	532	695	536	429	320	438	546	479	274	-	-	-
.....	774	143	193	47	64	65	82	58	61	61	-	-	-
.....	112	27	15	10	11	11	12	17	11	3	-	-	-
.....	1,440	200	171	181	212	119	167	170	127	93	-	-	-
.....	6,341	761	849	725	972	631	896	747	660	100	-	-	-
.....	1,023	84	63	48	122	84	104	118	151	249	-	-	-
.....	1,212	74	398	90	100	67	118	72	223	70	-	-	-
.....	4,682	492	671	504	618	580	544	545	367	361	-	-	-
.....	2,345	251	269	276	365	177	397	96	423	91	-	-	-
.....	2,698	285	212	345	448	279	280	250	270	330	-	-	-
.....	836	93	110	123	68	68	108	76	105	85	-	-	-
.....	701	75	85	77	74	85	61	69	75	100	-	-	-
.....	1,668	272	200	174	252	174	228	145	133	90	-	-	-
.....	224	67	8	3	52	43	6	31	14	-	-	-	-
.....	1,352	108	306	134	185	86	85	308	107	33	-	-	-
.....	4,120	605	515	599	544	419	429	347	426	237	-	-	-
.....	1,693	87	116	84	227	138	564	134	252	91	-	-	-
.....	1,498	22	30	15	141	90	58	10	89	44	-	-	-
.....	23,123	2,660	2,442	2,260	2,656	2,251	2,867	3,030	2,679	2,176	-	-	-
.....	1,555	97	167	142	161	101	181	157	191	161	-	-	-
.....	10,370	1,280	1,108	1,040	1,387	1,252	1,204	1,249	1,231	619	-	-	-
.....	1,734	39	132	900	107	40	181	139	123	73	-	-	-
.....	6,898	585	539	419	813	805	896	615	994	975	-	-	-
.....	1,119	119	150	174	163	129	82	112	66	4	-	-	-
.....	16,992	2,064	1,774	1,812	2,278	1,872	2,018	1,826	1,706	1,619	-	-	-
.....	78	37	47	59	86	39	54	59	176	19	-	-	-
.....	798	78	73	84	128	60	65	68	176	67	-	-	-
.....	292	247	334	676	206	223	291	268	221	144	-	-	-
.....	2,695	103	202	157	210	171	163	280	155	110	-	-	-
.....	1,672	104	104	176	74	72	48	72	77	46	-	-	-
.....	4,336	55	63	51	48	49	59	31	41	39	-	-	-
.....	1,745	620	109	158	152	130	159	139	233	45	-	-	-
.....	1,43	143	116	16	156	28	97	124	73	4	-	-	-
.....	297	100	15	52	25	27	18	2	64	3	-	-	-
.....	85	24	15	25	200	13	8	126	39	19	-	-	-
.....	579	78	150	27	120	42	99	126	39	19	-	-	-
.....	2,522	296	507	109	473	104	302	289	325	100	-	-	-
.....	1,030	148	81	114	235	106	106	125	207	95	-	-	-
.....	1,590	214	87	194	282	396	259	600	407	370	-	-	-
.....	15,771	369	299	455	1,600	2,085	1,598	2,342	1,273	486	-	-	-
.....	2,561	2,561	2,291	1,662	1,600	2,085	1,598	2,342	1,273	486	-	-	-
.....	321	321	330	368	405	199	311	251	80	41	-	-	-
.....	302	302	302	409	458	647	464	452	503	516	-	-	-
.....	18,778	656	17,005	16,274	18,185	15,209	17,428	17,414	16,102	10,474	-	-	-
.....	4,411	656	302	409	458	647	464	452	503	516	-	-	-
.....	147,027	18,778	17,005	16,274	18,185	15,209	17,428	17,414	16,102	10,474	-	-	-

IMMIGRANT VISA PROCESSING WORK FLOW OVERVIEW



The ADP Password Issuance Program

Bill Devany, Security

The ADP Password Issuance Program controls the access into INS' automated information services. A year ago, a formalized procedure to obtain passwords was virtually nonexistent and there were less than one thousand passwords to maintain. Today, such a procedure is in place. INS has now issued five thousand passwords and will have issued ten thousand by next year.

"Security clearances" are not required to obtain ADP Passwords. Security clearances are given to people who need access to classified information. Since INS does not maintain automated classified information, this kind of clearance is not necessary. However, guidelines put out by the Department of Justice require an "ADP clearance" for users of the mainframe equipment in Washington, D.C. and Dallas, Texas.

INS Field Employees now have a formalized role in the management of ADP security. Their role was established in August, 1984, when a formal password issuance procedure defined their new functions.

On the following pages, four diagrams present the process of password issuance. The process to obtain ADP Passwords for INS Field Employees begins with a request from a field "OIC," an officer-in-charge, who has identified a requirement to obtain an ADP Password for a specific INS Field Employee in a particular INS office. Eligibility implies that a particular level of ADP Clearance is required to obtain a certain type access to INS Automated Information Services. For example, an ADPI Clearance is necessary to delete a master index record. This procedure brings INS in full compliance with the mandates of the Department of Justice.

Questions:

Q: Once an employee is granted a password, why must that person apply again for each individual computer system?

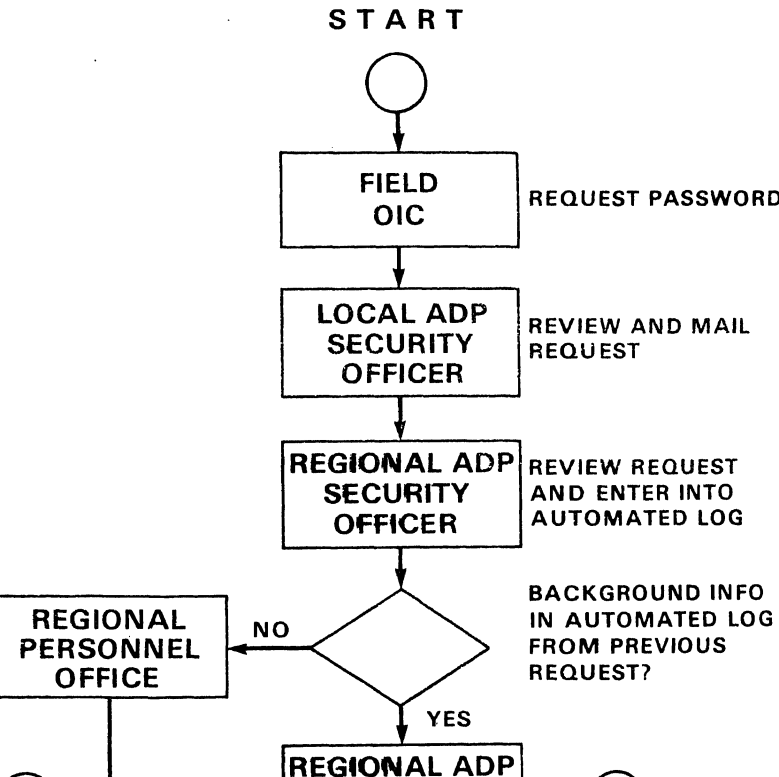
A: When an employee is granted an initial password, he/she is given access only to those systems in the initial request. Subsequent requests may require more stringent ADP clearance and, as a result, another review for eligibility must occur. Automated records are maintained on individuals who have previously applied for access. As a result, it is not necessary to request information from Regional Personnel a second time.

Comments:

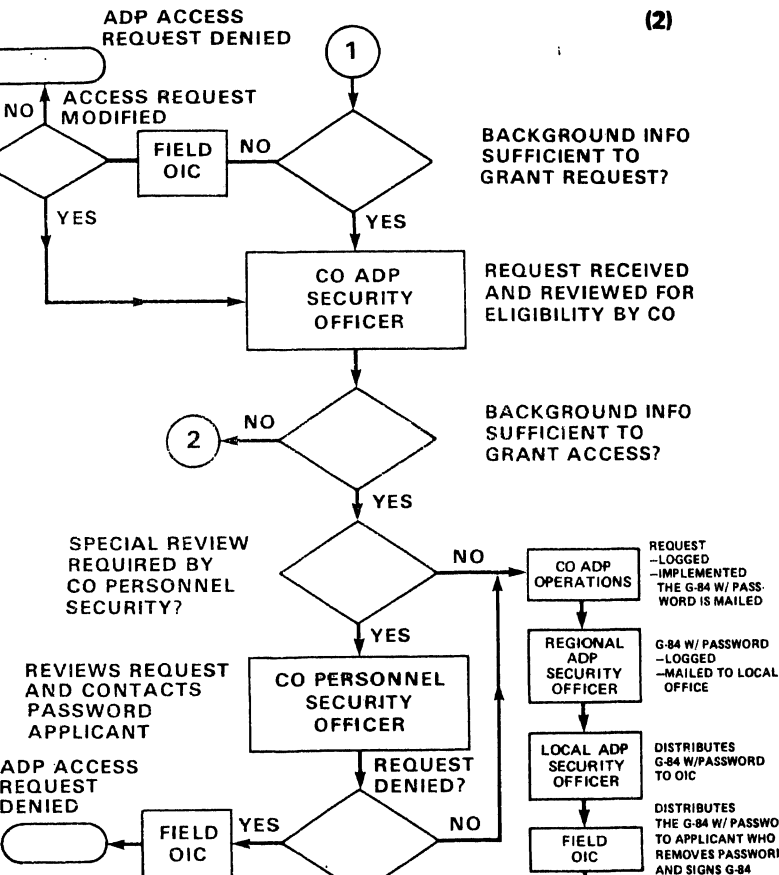
- It requires ten work days to process a password once a password candidate has been declared eligible, and the request has been received by the INS Central Office ADP Operations staff.

(1)

PASSWORD ISSUANCE FOR INS FIELD EMPLOYEES

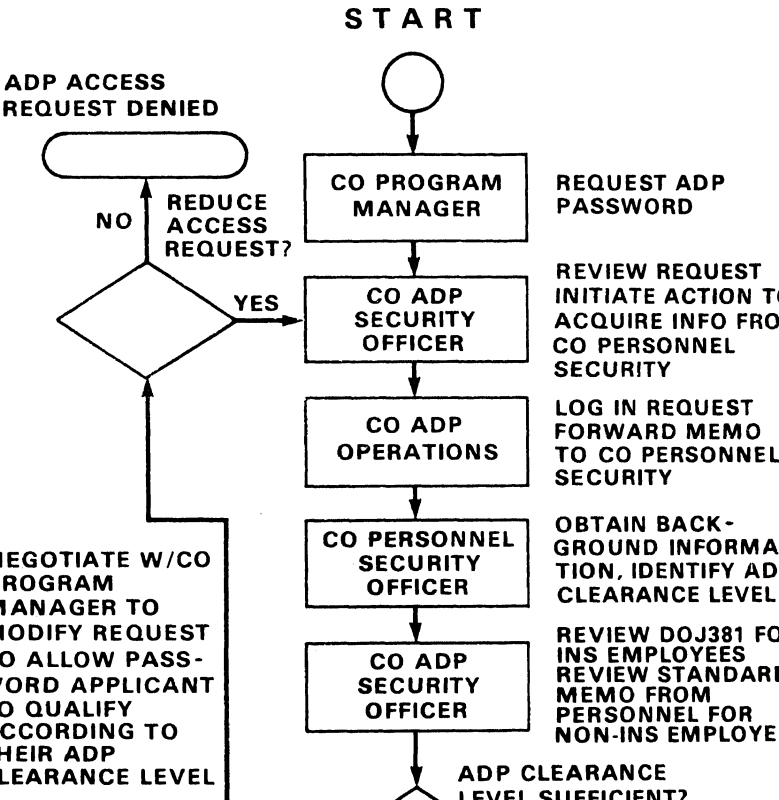


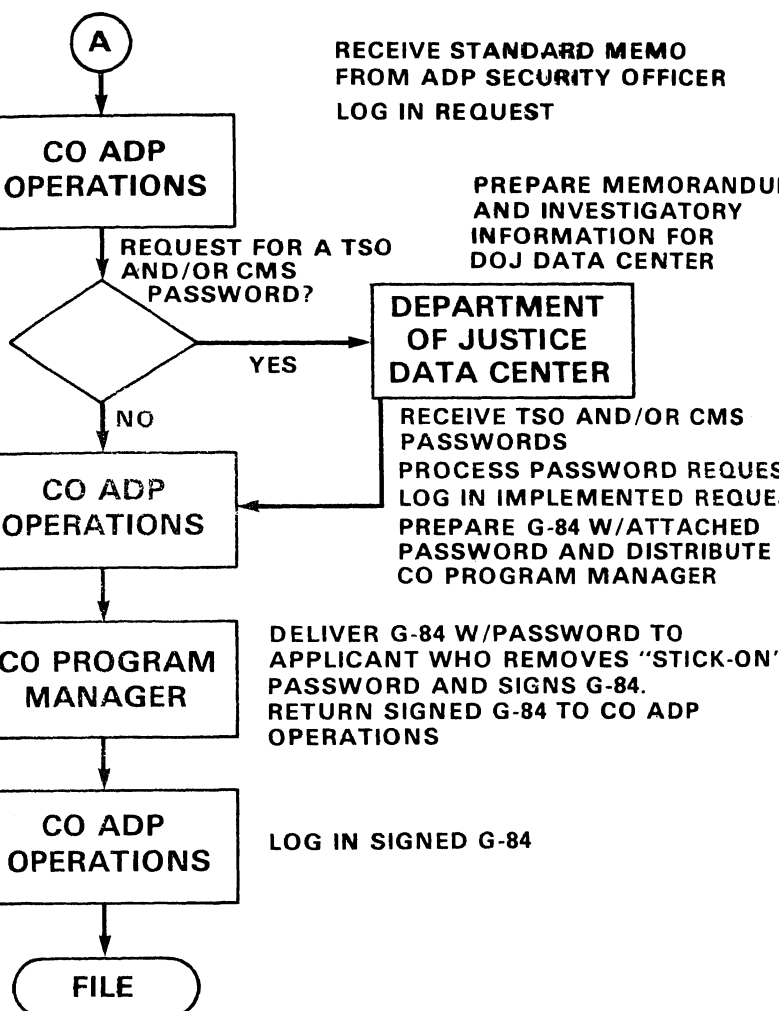
(2)



(A)

PASSWORD ISSUANCE FOR INS CO, CONTRACTOR, STATE, LOCAL AND OTHER FEDERAL EMPLOYEES





Thursday, July 18, 1985

District Offices Special Programs

The Chicago District Office has 12 computer systems:

1. Legal Case Tracking System (LCTS)
2. Central Index System (CIS)
3. Naturalization Casework System (NACS)
4. Cuban Adjustment Program System (CAPS)
5. Non-Immigrant Information System (NIIS)
6. National Automated Immigration Lookout System (NAIS)
7. Freedom of Information & Privacy Act Tracking System (FOIA/PA)
8. Anti-Smuggling Information System (ASIS)
9. Deportable Alien Control System (DACS)
10. Student and School System (STSC)
11. "A" File Accountability and Control System (AFACS II)
12. Master Index Remote Access System (MIRAC)

Of the 12 Systems, two have had a great impact on Records. They are: NACS and AFACS II (Project Inform). After working with the NACS system for approximately 2 years, the Chicago office has developed what they think is the most efficient way to handle the applications and Alien files.

Chicago receives an average of 130 N-400s, N-600s, etc., a day. The applications are clocked in, counted, and entered into the computer. If the computer is working as advertised, this takes approximately 4 to 6 hours. Records then checks their shelf, the Record Center, and MIRAC to find out where the file is. If it is in their office, they pull it, charge it to CB and send it to CB. If it is in the Record Center, they order it. If it is in another FCO, they request it and file the application in terminal digit order by month received. After 60 days, if Chicago still does not have the file, Records creates a temp file, using a blue folder and a blue index card to signify that it is a temp file. (All computer generated G-102s and G-360s are thrown away.)

This whole process costs Records 2088 man hours a year--just to build the NACS data base. At this time, there has not yet been any savings in man hours; however, a savings is anticipated in the future.

This saves approximately 10 hours per week.

- Positive Alien File Tracking time is reduced (if everybody follows procedures) because everybody knows where that file is--this is a benefit to all operating units and saves approximately 20 hours a week.
- AFACS will help reduce Congressional inquiries to 20 hours per week.

with AFACS II come intangible benefits as well:

- No more estimating the number of files in your office for the end of the year report--these may be obtained on a daily basis.
- No more estimating the number of files in operating units--AFACS II provides this information as well as the length of time files have been at a particular unit.
- INS will know what unit is not following procedures. For example, if Travel Control was charged with 100 files, even though they only "wanded" in 10, one would need to find out what happened to the other 90.

There are by no means all the tangible or intangible benefits to be derived from AFACS II. More will become apparent as the system is used and the bugs are removed.

Miami is now well into an organized effort to grant permanent resident status to Cuban boat arrivals and their families who choose to apply and are found eligible. One way or another, we have been involved with this program since the boat arrivals occurred. During the period from April 15 through October 15, 1980, we processed 124,779 Cubans into the United States with approximately 86,000 resettled in Florida.

The initial processing at the port of arrival was done mostly by detailed officers and volunteers from the community. From there, they were either paroled into the custody of sponsors or sent to a processing camp. Miami leased several floors at a remote site which was manned by detailed officers, investigators, and temporary clerks. Incidentally, that remote site is now the location of the district office. Shelving was set up to house the files and further processing was handled there. Over 2,000 Fine files were created and many are still pending action in the courts. In 1981, the Mariel Cubans were advised by local community groups to file for adjustment of status. We received more than 32,000 applications. Records began pulling the files which were housed on a separate block of shelving in Examinations until space ran out. Eight thousand applications were later placed inside the files by EXAMS, and the routing of the G-102 filed separately as a call-up. The remaining 14,000 applications were stored in boxes around the file room and no further action was taken. A short while later, some word again went out in the community and we began receiving hundreds of political asylum applications. About this same time, more than 20,000 pending I-130 petitions were returned from the embassy in Havana since they pertained to those who departed from Mariel. Since these were now file-in-file material, they were stored in boxes in the file room as were the Cuban passports picked up from the boat arrivals.

During 1982, we ran into difficulty trying to locate records in order to process I-130 applications for replacement of arrival documents. We found that many were not in the MIRAC or could not be retrieved by name and date of birth search. We very often had to refer to the Office of Refugee and Resettlement (ORR) and, on May 12, we received two terminals to access their computer but were only able to keep them until October when funding ran out.

With the closing of the leased office space, the files were sent to the District Office to be integrated with the other. Since we had no space for them, the old index cards were placed on microfilm and four of the five Kardex machines disposed of. The shelving was brought down and installed in the available space. All the 30 million files were removed to this new shelving to allow the room needed for the additional files in the 1980 million series.

In December of 1983, in order to avoid a threatened law suit, a proposal went forward to the commissioner that INS should begin to process the Mariel adjustment cases. It was estimated that we would be handling approximately 100,000 applications, with an additional 50,000 for reentry permits. Several options were considered, such as returning all applications on hand, all to file new I-485 A packets, and all who had moved to the United States an AR-11, change of address card.

On March 7, 1984, Central Office sent us a list of 3,132 files from the ORR data base which were not found in MIRAC. We did a shelf check and performed data entry if the file was located. On April 10, we learned that the lawsuit had been filed but INS was waiting for the Simpson/Mazzoli bill.

On October 18, 1984, the Miami News carried a headline that the United States was moving toward granting Mariel Cubans resident status. The attorneys who filed the suit, stated that its purpose was to pressure the government into speedy action. Much criticism was received from community groups sponsoring the Haitian arrivals during this same period, calling the plan discriminatory.

On November 20, 1984, our present operation got under way. INS would ask all Mariels who had not already adjusted, to register during the month of December in order to provide us with current addresses and update the computer. I-104 registration forms would be available only from the voluntary agencies who would deliver them to INS. Examinations met with the VOLAGS to discuss procedures, and lists of the participating agencies were delivered to the public.

On December 2, the Miami Herald ran a headline which read "INS officials expect 300,000 additional refugees to settle in Dade County." This figure was based on an average of 1.5 relative petitions after residency status and a similar additional number, once citizenship was achieved. The impact on the community was tremendous. People worried about such things as housing, schools, taxation, traffic, pollution, and parking facilities. Citizenship could come almost simultaneously and translate into an additional 100,000 voters by the 1986 election, most of whom were expected to become Republicans. Despite political advantages, the most important benefit of citizenship for the Mariel refugees was the right to claim relatives. A survey showed that there were already about 10,000 Cubans waiting for U.S. visas in Panama and Costa Rica. Because of the delay in obtaining resident status, many had been trickling into South Florida illegally over the past 3 years and smuggling rings were being investigated.

Another article in the same edition outlined procedures for registration and listed 23 locations of voluntary agencies. INS wanted a uniform system but the VOLAGS went their own way. One saw people on a first come, first served basis; one by appointment only (already booked for the next 3 weeks); another seeing only people who had originally been settled by that office.

On December 4, the Herald reported that VOLAGS were jammed on the first day with some completing as many as 500 to 1,000 cards each. At 7:30 a.m., one lady stood behind 39 other refugees. She had brought with her 2 friends and her 90 year old grandfather. She filled out her card 3 hours later. Some agencies closed early and people elected to travel to adjacent Broward county. The Information unit began getting calls. VOLAGS were not accepting registration without the original I-94. Refugees were filing a G-641 to get an "A" number.

On December 6, the county managers office suddenly halted registration claiming budget and personnel reductions. They wanted the Federal government to reimburse them for all costs incurred. Meanwhile, it was reported that one of the VOLAGS was charging a

Portland, Oregon, thinking they had to file in Miami.

On February 4, 1985, nine temporary clerks were hired for Records to assist in mail and file functions. Cuban adjustment processing would take place on the newly renovated second floor of the building. We ordered passwords for the new ADP system "CAPS." In March, we received 8,692 G-360 transfer requests to send files out but we also received ticklers for 7,658 to transfer in. Positions were posted for temporary promotions to Application Adjudicators for the CAPS program. Four contact representatives were selected. Three of these positions were replaced with temporary promotions to Contact Representatives. Of those selected, one was a tape librarian and one was the liaison clerk. The latter position is still pending replacement. A temporary employee on loan to the Information Unit was also lost to the program. Because of the severe shortage of personnel, we had to close down 10 primary telephone lines and the special "Forms" tape recorded line.

Examinations has had to make several adjustments in procedures since the beginning of the program. Call-ins from the old 1981 applications were not satisfactory, as some either had not registered or there was no current address. Some persons registered, although they were already adjusted, and some did not want to apply and be interviewed by INS for various reasons. Some families complained about being called in together as they couldn't afford the expenses all at once. There are holdups in processing. Approximately 6,000 are pending police checks. The fingerprint turn around is 14 days, but if a print is rejected, the process starts all over. It was thought that MIRAC would automatically update the CAPS, and files transferred in were not acknowledged. However, as of July 1, 1985, we are calling in 224 persons a day. The fee receipts for June averaged 18 reentry permits per day.

All in all, the operations appears to be running smoothly. The Information unit has reopened its closed telephone lines. The other district office operations are moving along and Miami is getting the job done.

In September of 1984, construction began on the Western Region's new waiting room. Martha McKee presented two videos which simulated a "walk-through" of the new facility. The blueprints were developed by Art Morris of Central Office Engineering. Because construction had to be carried out during working hours, the working environment was very chaotic.

New seating areas are color-coded with the tickets to help direct the alien to the appropriate service area. Receiving between 500 and 1,000 people each day, tickets usually run out by noon, but anyone who receives a ticket will be served. Unfortunately, this system does result in a line of 200 to 300 people already waiting outside by the time that the doors open at 6:30 a.m. There are even "hustlers" who will sleep around the building in order to get low numbered tickets which they later sell to anxious customers.

A microphone system facilitates the flow of aliens, as does a forms room where 600 to 800 people receive forms each day. While they wait, aliens often take advantage of the video instruction booths. Twenty-five contact representatives are available to serve them, which is a reduction from 40 contact representatives last year. Between \$15,000 and \$17,000 are collected in fees on a daily basis.

There is a very nice, quiet, working atmosphere for the INS employees and for the people served. Attorneys even come in on a regular basis and stay all day, doing their work at large table in the waiting room.

This facility does have one security guard, who has proven to be invaluable. One area in which the Los Angeles Facility may be lacking in is in a special system for the handicapped; although the handicapped have easy access to the waiting room, the waiting process can be very awkward for them.

Members often do not know how to use this resource efficiently. Files cannot be easily, either because they have been passed on to someone other than the person need for them, they are not returned when due, or documents are separated into a folder, while the original A-File cannot be located.

Effort to curtail and control these inadequacies, the Washington District Office's Administration implemented a system whereby request for A-Files can be made and acted upon within 24 hours.

At this deadline, the Assistant District Director of each unit was asked to designate employees, a primary and an alternate, to maintain control of the records in their

Records Office designated a clerk to act as the Coordinator to implement control and efficient means of moving files from one unit to another. The Coordinator uses a Records Control form (Exhibit A), better known as the "Green Control Sheet". This form is sent to the various sections and must be returned with the files to the Records Coordinator (see Exhibits B and C). This Control Sheet shows the section where the file is located, the contact person of that section, the file number, the person to whom the file is charged, and a statement which reads: "The following files are being sent to your section and must be pulled immediately."

If a file is determined to be unavailable, the requestor is notified of the file status and that a tracking and/or special search has begun. The special search and tracking procedures are as follows:

- The Records Coordinator passes the special search flag to the Special Search Clerk;
- She/he flags the shelf; and then,
- Contacts the contact person in each section and decides on an agreeable time for the two of them to check all areas of their unit.

If a file is not located in the building within a week, the requestor will determine at that time if a service wide circular is necessary by noting on the special search form and forwarding it to the Records Office for processing.

To produce quick results while changing bad work habits, the One Minute Manager's plan was initiated (Exhibit D). This plan starts with a goal on which all managers agree. Number 5 of the commissioner's priorities states, "Continue to improve files availability." The Washington District's goal is to move files from section to section within 24 hours.

When the goal is met, that is, if files are obtained within 24 hours, then the Coordinator of Records Control Clerks, thanks them for their quick response, tells them that they are making her job easier, and thanks them again.

goal is not met, the Coordinator calls the Records section to inquire why the were not returned. Typically, the response is that the Green Control sheet was never received, in which case the Coordinator agrees to send another. However, Coordinator stresses that if it is not returned immediately, the District Director will fined.

mand begins by informing the Assistant District Director that his section is slow and to Green Sheets or does not respond at all. The reprimand then follows the f command.

the Minute Game Plan concept is to praise and reprimand behavior, encourage speak the truth, laugh, work, and enjoy. People who feel good about themselves e good results, and everyone wins.

RECORDS CONTROL FORM

THE FOLLOWING FILES ARE CHARGED TO YOUR
SECTION AND MUST BE PULLED IMMEDIATELY

DATE: _____

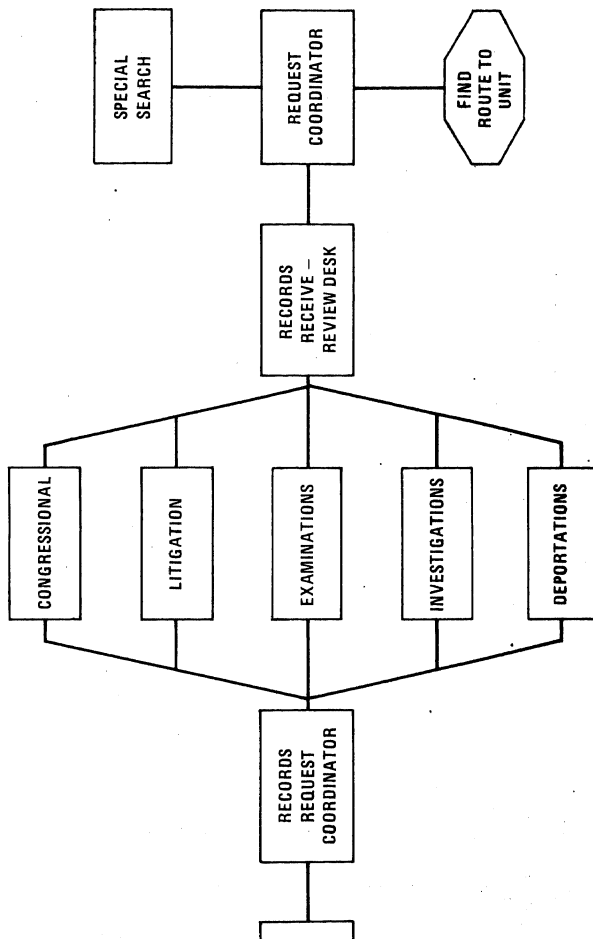
TIME: _____

TO: _____

A#

RESPONSIBLE PERSON

DATE CHARGED



Filling out the G-100

Print the requestors' name

Print the section where the A-File is charged

Print the name of the A-File

Print the A-File number

Write the date of birth of the name corresponding to 1.3

Write date of naturalization (name not necessary if A-File Number is known)

Write date of request

1.11

Fill in only if file number unknown

Enter any special instructions. i.e., Send G-360, Create file, waiting, etc.

Fill in if more than one file number is issued to alien (this space is also used for Records Operations.)

Give G-100 to the Records Request Contact Person in your section

The Records Request Contact person in your section will pass the G-100 to the Mail Clerk, who will function as Records Request Coordinator

The Mail Clerk (Records Coordinator) will maintain control of records moving from one section to another

The Mail Clerk (Records Coordinator) will deliver a green control sheet specifying A numbers and persons responsible for the files to the retrieval section's Contact person

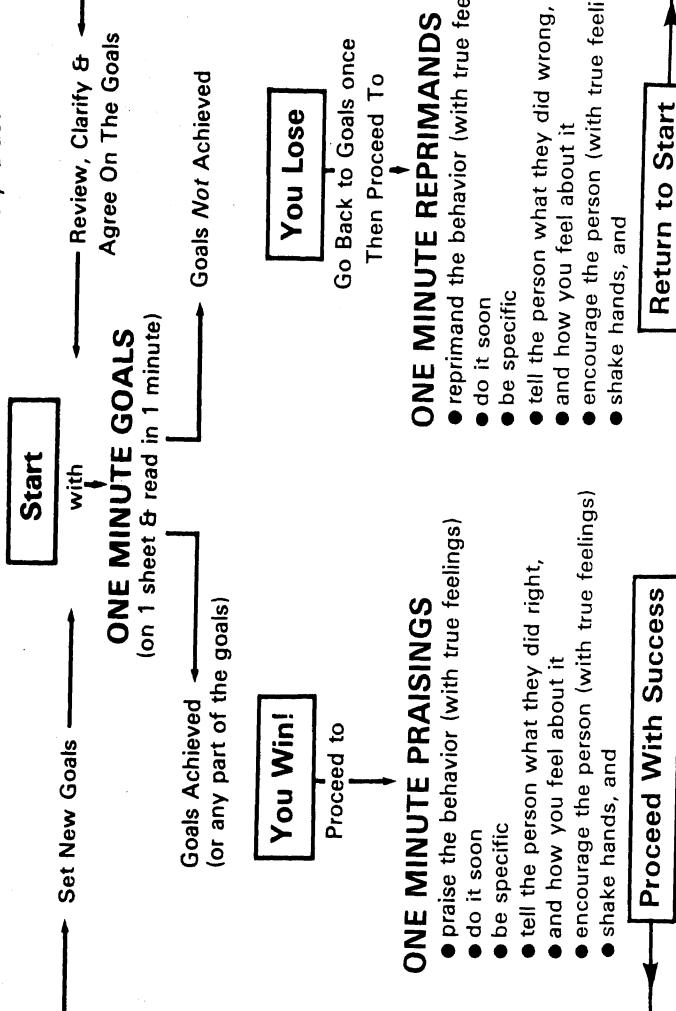
The retrieval section's contact person will be responsible for locating individuals processing files

Obtains files and gives them to the Records Coordinator (Mail Clerk)

Records Coordinator will wand files into the records office and wand them out to the requesting office

Deliver the files to the contact person of the requesting office, who will pass them to the requestors.

How to give yourself & others "the gift" of getting greater results in less time.
**SET GOALS; PRAISE & REPRIMAND BEHAVIORS; ENCOURAGE PEOPLE;
SPEAK THE TRUTH; LAUGH; WORK ; ENJOY**
and encourage the people you work with to do the same as you do!



Walter Connery presented a 30-page booklet entitled, The Garden Path to Integrity Erosion (which was distributed at the conference), and a 16 minute video tape by the Commissioner. It is important that any serious integrity allegations be reported immediately to the Office of Professional Responsibility (OPR). OPR is composed of a staff of 49 individuals at a central office and four field offices, located in Miami, New York City, El Paso, and San Diego.

Part of the video discussed the largest conspiracy that the INS has ever had, in which two officers in charge of permanent resident alien cards, the Central Office Computer Password Security Officer and the Central Office Program Manager for ADIT, created a scheme to distribute these cards illegally. Hundreds of illegal cards were distributed to aliens not only along the East Coast, but even internationally. Such a scheme frustrates the work of all INS employees, and often the corruption of one official will lead to the corruption of others. A special award was given to the District Director of Newark, New Jersey, whose integrity and close attention first alerted the INS to this case.

Mr. Connery warns that the most common form of integrity erosion is much subtler than the above example. In particular, employees must be alert to the practice of gift-giving. Any gifts, no matter how small, must be refused by law. Generally, small gifts are followed by larger ones, commonly resulting in the compromising of the employee.

Cases involving OPR generally revolve around:

- improper admissions;
- placing I-551 stamps in passports;
- granting improper extensions of stay;
- less often, conspiracy with other Service members to grant permanent residency;
- border patrols granting illegal entry; and
- theft of alien property in Customs.

The large number of temporary employees compounds the problem.

Since 1983, 24 INS employees have been charged with some form of conspiracy or fraud. Eighteen of those employees were convicted; these included personnel in such diverse positions as:

- Computer Systems Analyst;
- Immigration Examiner;

- Border Patrol Agent;
- Immigration Detention Officer;
- Applications Clerk;
- Cash Clerk; and
- Interpreter.

All INS employees must work together to remain alert and intent on maintaining the integrity of themselves and their coworkers.

At this time, all INS employees should have received a copy of the "red book," the new contract between INS and the labor union. Mr. Dennis Ekberg presented a brief background of the new contract as well as its major changes from the previous contract.

The previous labor contract of 1979 expired in 1981. The large gap of time without a contract was due to the rapid turnover of union leadership during that period. Mr. Richard Robinson, a spokesman of the union, was responsible for the drafting of a 170 page proposal in December 1981, which led to 2½ years of negotiations between the union and INS. Mr. Robinson later left the union, and several spokesmen after him contributed to various changes in the proposal and union negotiating strategy.

Eventually, INS and the union decided to go to arbitration, with 30 articles at an impasse. Most important to the union were:

- no name plates required for uniformed officers; and
- recognition of unions below the district level.

INS could not grant these requests, but the negotiators could agree to resolve the other major concerns of the union, while setting up a study group to resolve the above.

The new contract has increased from 40 articles to 52. The new articles involve:

- leave;
- firearms;
- travel;
- formal meetings;
- prohibited personnel practices;
- Equal Employment Opportunity complaints; and
- sexual harrassment.

Major changes of the new contract involve:

- Article 3. Employee Rights--encourages employees to follow the chain of command when there is a question on personnel matters.
- Article 7. Official Time--gives 100% official time to the new council president, 50% to the executive vice president, and 35% to the regional vice president; also adopts a form for requiring official time. Please check the

- Article 8--changes the procedure for notifying the union of who enters or leaves the bargaining unit, or changes districts, etc.
- Two Articles on Consultations--changes the procedures for impact bargaining; when a personnel policy is changed, notice must be served to the local union. Also, these new articles provide for changes to agreements at the national, regional, and district levels.
- Prohibitive Personnel Practices--This article is extensive, although it basically paraphrases the law and is included for information purposes.
- Outside Employment--outlines the procedure for requesting outside employment in writing, and requires management to respond within ten days.
- Performance Appraisal--provides for grievances on AM 2230.
- Details and Temporary Duty Stations--sets forth INS' right to detail employees.
- Travel--defines travel and per diem issues. This article forbids the intermingling of public and private interests in using government automobiles.

Thank you, Irv, and good morning to all of you. I want to thank you very much for inviting me to speak to you, and particularly as your closing speaker. I stopped in earlier this week to hear some of the presentations, and I've been watching the agenda very closely and, of course, I watch these issues very closely from day to day. You have covered a lot of ground through the day and there's a lot of ground that will continue to be covered in this program, as I'm sure you're aware of from the speakers who have talked of other parts of the Service about things that they contemplate in their program. So, I will try to hold together some of these things and get you a little bit of the picture of what I think the future looks like in this program. But before I do that, it seems to me that the most important thing that we can do right now is to really be so appreciative of the people who have pulled the conference together. That, of course, is Mr. Klavan, Mr. Duell and Mr. Christian and all the other people on the Central Office staff who have worked so hard to make this a successful conference. I wonder whether you would join me in showing our appreciation?

This, of course, is the second National Records and Information Conference. These kinds of conferences are very necessary and I think that this one, from all reports that I've heard, has been extremely productive. I think it's fair to say that you all, we all, have established a new tradition in the Service, and I look forward to joining you in the third annual conference, and the fourth and the fifth. I hope that this will continue to be the pace in the future because this is a program where we do need to work together with all other parts of the Service, and having meetings like this is a way of coalescing ideas and sharing important information. And we meet together to accomplish the overall goals that we're trying to accomplish in the Service. So, operating under the assumption that we'll see each other again every year, let me just try to trace a few of the broad things about where we have been in the recent past, and then turn to where I think we're going and the kinds of things that you'll need to be concentrating on in the future.

It's always good, as was said in the last presentation, to think about the good things. The accomplishments that we have in your program have been very, very significant. I think you all have to be pleased about the Records cleanup activity that has gone forward over the last several years. The Tiger Team and other kinds of resources that have been made available have been very, very important. That, of course, has been the precondition or the staging for moving into a very ambitious program of Records accountability and automated A-file tracking. Many of you, of course, have heard about these things only in terms of the words. You haven't actually seen them in your offices. That's because we have pursued a strategy of putting these resources and putting these initiatives into our key cities, which is a small number of cities--five or six district office locations. But, of course, we've done it with the understanding that we would then expand to all the other offices in the Service. I hope that nobody feels slighted by that strategy. From an overall management point of view, it's been extremely important that we look at where our workloads exist. The fact of the matter is that well over half of our workload Servicewide exists in about five or six major

have to be dealing with those cities all the time in terms of getting information and moving files back and forth. So you ought to be able to see some results immediately. Naturally, we will then take that initial investment and take the money from it and move it out to the other offices. That, I think, is within about a year or two of time, which is a very, very exciting development for everybody. You all know, of course, what happened in the telephone area--we've been very successful with the Western/Eastern Region Telephone Office, and now that we have the Western/Eastern Region Telephone Office, that should be making some difference in many of your offices. If nothing else, you're not seeing the workload skyrocketing. They ought to be leveling off to some extent, and that's the kind of thing we have to be looking at on an overall long term perspective point of view. You had some presentations during the meeting on Information Office waiting room improvement. That's something that we have felt very strongly about. The work environment is significant. It makes a statement. It makes a statement about ourselves, to ourselves, and it makes a statement to our clientele about how we feel about ourselves, and about our desire to operate in a professional and efficient fashion. We've done some very nice things with waiting rooms, again in our field offices. I have not yet seen the Los Angeles one, so I was pleased to see the slides. It's going to be going out in a week or two, at the end of August, and it looked like it was really very nice. The important thing about the waiting rooms is not just that we have successfully managed to make those kinds of improvements, and marshal our resources to put them to this kind of a function in the large offices, we also now have developed a standard set of specifications and a standard outline for all field offices to use when they make waiting room changes. That's available through regions and directly from the administrative people in the Central Office. We think we have a good model now of what a waiting room ought to function like, how the traffic should look, what the color coding is, and so on (although I agree white chairs are not a very good idea). But the effort, again, is to try to have used the offices as laboratories so we don't start all over again. There is now a standard approach and you'll be able to put it in many of your locations as they become available for those kinds of changes.

Courtesy and professionalism issue is one that increasingly we will be attempting to do more than just pay lip service to. Obviously, everybody always talks about how we should be courteous and so on. It really is a critical issue, and it appears in the Commissioner's Priority because it is a critical issue. I think you'll be hearing a good deal more about that in the future as we're more and more able to spend time and attention to that matter. You all know that each region this year was asked to develop a courtesy campaign within the region. That now is being pulled together so we're running a national campaign, really in the next month or two, which will involve a national slogan and the pins and the posters and all of that sort of stuff, which may seem a little hokey but, in fact, it isn't. When it's up there and when you're looking at it, it reminds people, and hopefully it does help to change attitudes a little bit and project a tone and an attitude outward. As far as the courtesy business is concerned, we're now seeing new materials and you're going to see a more national focus.

What most organizations have learned about courtesy issues is that you do need to make that kind of a change every once in a while in order to keep people's attention. I understand it, McDonald's ads on TV have a 3 to 4 month shelf life and then they're gone, so they're not to stick in a whole new phrase

citizens in our society. Automation is with us. It's something we all have to learn, and for everybody it is a new experience. So nobody should feel wholly behind the eight ball when there are growing pains. There are simply going to be growing pains; there are things that are going to be wrong. They have to be fixed up, and there'll just have to be a lot of discussion and a lot of coordination. But the fact of the matter is, that I think you know from experience from the automation that you already do have that it just makes a big, big difference and really helps. You, of course, have the FOIA program, we have NACS/DACS operating in many offices, and NIIS is available. The most important thing and the most exciting, immediate thing, I think, is the Central Index program that is coming up in the next several weeks, and I'm sure Mr. Murray will relay what the schedule is on that in his presentation. But, having Central Index and being able to do automatic file transfers without all the little forms that are filled out and all of that sort of thing, should, in the next several months, make a very immediate difference and give relief in some very important areas. That is a terrific tangible result for this program from what's going on in the automation area. Automation, of course, requires training. It really requires making people available to learn the new systems. The new systems only add confusion if people have not really learned to use them and found ways to integrate them into operations. We learn some surprising things when we put new systems in. I was not able to hear the presentation this morning from Chicago, but my understanding of what's happening in Chicago with some of the new systems, and particularly with the NACS system, is it's increasing file usage, rather than decreasing it. Because, in fact, now you can find the file, so there is a way to use it. We had not anticipated that, and those are the kinds of shifts and changes that we need to be aware of, and then operations have to be adapted accordingly.

Finally, I think that an incredible thing that has happened in the Service for us all to take note of is virtually the elimination of an Adjudications backlog. Now that is a little bit of an overbroad statement right now because there still are, in certain cities, backlogs in certain types of caseloads. But overall in the last two years we have made extraordinary progress in the Service to deal with the Adjudications backlog issue. We've done it by taking some pretty radical actions from the point of view of the Examinations program, and I think also the derivative of that kind of Records program. But we've been able to do it by really restructuring where and how the Adjudications work is done. Something like 30 to 35% of our Adjudications work is now being done in the Regional Adjudications Center. Those Regional Adjudication Centers are, per person, 25% more productive than doing that work in District Offices. Not because the people are any better in the Regional Adjudication Centers, it's because they are a site where the work effort is concentrated on doing one thing, and that is adjudicating the case. District offices, as you know, are mayhem, usually. People cannot concentrate on one thing. They have to go back and look at things over and over again. They are interrupted by telephone calls, they are interrupted by various kinds of crises that come along. The RAC is not that way. The RAC is isolated. We do whatever we can to make those people anonymous. We don't let the phone number go out. The RAC exists to churn out large volumes of casework. The expansion of the RAC, and feeding cases into there, along with sending cases to Ports of Entry (to the extent that there is capacity there, but really pushing to determine what the capacity is), has made it possible to basically eliminate backlogs without any increases in Adjudications personnel. The

is that the more naturalization actions that we take, the more naturalization receipts we get. Because there is a big, hidden demand for naturalization. As people learn that, in fact, their citizenship requests are going to be met and are going to be taken care of, they come forward to naturalize. So I always like to tell the Adjudications people when I speak to them that there's been this sort of sense in the Adjudications program over the years that maybe backlogs are a good thing. After all, as long as we have backlogs we continue to have a reason to have a job and, therefore, there's security that surrounds it--that's a lot of bunk. All backlogs do is make you do useless work, and the fact of the matter is that the more timely that we get in our Adjudications, the more demand there is out there for the Service that we perform and, in fact, our receipts are going up. So I think it is fair to say that we are in a growth industry and we don't need to be worried about suddenly having the need for our service to disappear. Now the reason for my going through that whole explanation is because this elimination of backlogs, of course, has had an extremely positive effect on the Records program. I would hope that that effect is starting to be able to be seen. Clearly, if we take actions in a timely fashion and if we are able to move files quickly in relation to those actions, we don't have all of the derivative problems of Congressional requests, people calling in on status, other units needing to get a hold of a file which is stuck in Adjudications because an application has been pending for how many years, or whatever else. We ought to be able to be seeing a lot less useless work going on in the records program as a result of the positive results that we've seen in the Adjudications program. That push to keep adjudications current and to have our responses after examinations matters be timely is one that will continue to be of the highest priority of the Service. Derivatively, it ought to make your lives a lot easier at every step along the way.

So, it seems to me that taken together, those accomplishments are a reason to feel very good about ourselves and to have a good deal of confidence in where we're going in the future. Now the future, of course, will continue these schemes that we have worked so hard to achieve in the recent past, but they also are going to bring about a lot of change. I was happy to see that in the welcoming letter you have in your packet of information, this was a big issue that was highlighted. We are in an era of change. We need to learn how to deal with it, and manage it, and adapt to it. The fact is that most of us can, because that certainly is going to be the characteristic that most of us have to live with most frequently. Obviously, I think that, again, automation is going to be the most dramatic aspect of change that we have to deal with. I think, for all of you, the most exciting aspect of the automation program will become evident in probably the next 6 to 8 months, when large amounts of hardware will be coming into your offices. Many of you have already seen, and are starting to work with, the new IBM hardware that we have gotten as a result of the major contracts that we let several months ago. But the hardware you're using at the present time has just replaced terminals you had in the past. So, the net gain, even though you're able to get more service out of those things, the net gain is an actual piece of the hardware we haven't really seen yet. But in the next several months you will see it and it should make a great deal of difference, because just having more terminals and having more word processing available is going to make everybody's lives a lot easier. We, of course, along with the new hardware, will be getting significant new systems capabilities. That's terribly important as well. I think probably in the Records Program, the Central Index, and its capability to transfer files in an automated fashion, will make a tremendous difference. But, in addition to

But, again, the most important thing for everybody to keep their minds on is how we adapt to these new capabilities, how we use most effectively the new equipment, and how the new capabilities that are made available to us, in fact, really do free up resources and have us integrate our efforts as much as possible with other operations in the offices that we're all in. There's no question, as I said before, that we will make some mistakes. The point is to try and make small mistakes rather than gargantuan mistakes. We just have to assume that there are going to be hard times, which will be part of what it's like. The premium is now communication, talking with each other, trying to work things out, having a can-do attitude, but recognizing that here and there you're going to take two steps back in order to take one step forward, but overall it's going in the right direction.

Now let me talk a little bit about FY '86 priorities. There's one priority that is extremely important for this program because of the change in one word. This is the priority, of course, that has to do with files accountability and that's been a priority effort for the last couple of years. But up until now, the priority has always read, "continue to improve files accountability," and Project Inform, clean up the Tiger Team and Records work and all that sort of thing has been arrayed as ways to accomplish the continuing improvement. This year for FY '86, the priority reads, "establish file accountability and diminish the use of files through automation." That is a much more challenging priority than you had in the past. We're going to have to stretch to reach it. The point is that we have put, as a service, a great deal of money over the last two years, almost 8 million dollars, into efforts to clean up our file rooms and put Project Inform and A-File tracking into the large district offices. On the assumption that we get A-File tracking into our large district offices this fiscal year (and that is what we are planning to do), as I said earlier, we will have a tracking system for about 55% of our files Servicewide. That means that 40 to 45% of the files are in the remaining district offices, most of which are mid to small size. It is our hope and our intentions that in those settings, we will be able to basically eliminate this whole problem we've had for so many years of lost files. It really is embarrassing to be an agency when (I'm sure it's happened to all of you) you go to a cocktail party or are talking to your friends across the back fence and you tell them you work for INS, you can suspect that there are about two or three things that they will know about INS. They'll say something like, "Is that what a Border Patrol is?" or "Oh yeah, that's the agency that always has the lost files." Well, we've got to stop that. I think we are well on the way to doing so. I think all of us will appreciate and have a great celebration on the day when our neighbors no longer say to us, "Oh, that's the agency that has the lost files." It's within reach and we're going to be looking for ways to assure and measure that next year, but the premium now is having files accountability, not just to continue to try and get it. So you'll be hearing a good deal more about that, but the fact of the matter is that we're upping the ante on that issue and it's going to take all of us together, along with strong leadership from District Office Managers at the very top to actually accomplish that.

In addition to that, I think it's terribly important for all of you to be thinking about the other priorities that are in the Commissioner's priority system and the way in which the Records program supports them or can support them. The fact of the matter is that the balance of Adjudications system and maintaining currency in our Adjudications program

to achieve the same objectives.

As courtesy and professionalism are concerned, as I said earlier, we're going to be trying to push very, very hard on those issues. I think we have achieved a good awareness among our people about the fact that we value those attributes. We're going to be trying to put some more meat on the bones this year. I was very interested in the Eastern Region's presentation on the panel interviewing process for selection of Contact Representatives. We'll be watching very carefully over the next several months how it works. Very likely we'll be exporting that technique to the rest of the country because obviously selection is the key decision that is made as far as personnel are concerned. If we really believe that we want our front line to convey a positive image of the Service and to be effective in handling the public, then we've got to select the right people to do it. We owe ourselves a structured way to really concentrate on how to go about doing that. In addition to that, there's, of course, always the issue of training. Training people to have public skills, to work effectively all day long with the public across the counter, is something we have not done nearly enough. There will be a great deal more of that. I think that as far as the courtesy issue is concerned, we'll do a great deal of public stuff, the buttons and the slogans and all that sort of thing but we'll backfill with some of the real daily kinds of things that are necessary to bring about the kind of change that we're all searching for.

Let me just say a word about the nature of Records work in general, in the Service. Clearly, all of the talk of the Service, as far as automation is concerned (all of the efforts of trying to really upgrade the kind of operation that we have, to expand our efforts to enforce the law, to try to work on programs such as SAVE and so forth), all of that is trying with us the kind of questions for support programs like the Records program, "And what's going to happen to us?" Do they still need us? Maybe we're going to be put out of business by all these computers and so on." I think we all have the experience now to know that obviously is not the case. But I do think that it is important for me to state to you, and for you to be sure to constantly be reassuring your staff when the opportunity arises, that we are always going to have a Records function in the Service but that that Records function is undergoing some pretty dramatic change, and that we are hoping to do and what I think we are accomplishing, is eliminating so much of the lost effort and the useless effort and moving more and more to efficiency and productivity in our Records program and among our Records personnel. There is no question that we are having increased workloads and everything that we do lets us know that there's all kinds of work and initiative out there that we need to get to people to organize themselves to do it. All of it has the Records impact. The bottom of the matter is that none of us are going to get the kinds of resource increases in the personnel area that we want. What we are dealing with is increased work loads, an increased workforce. Not much in the way of a decreased workforce, basically a stable workforce, but more and more work, and, hopefully, better techniques and more effective ways of dealing with that work. People are not going to be put out of business, but people also have to be very open to changes in skills that are needed, to training opportunities as they are presented, and to looking at ways to be very efficient with every particular staff hour that is available, because we just can't afford to waste efforts, which has so often characterized our activities in the past.

and services that you provide. I would hope that you leave today with a feeling of optimism and professional satisfaction in the future. Thank you very much.

Conference Evaluation

Servicewide Records and Information Conference Consolidated Evaluation Report

to improve future conferences, conferees were asked to fill out evaluation sheets which were distributed on Thursday, July 18, 1985. From the 101 conferees who attended the conference on the last day, 81 completed evaluation sheets. The following figures reflect a breakdown of the overall compilation and analyses performed by the Conference Coordinator.

Question #1: How would you rate the overall Conference? Explain.

Responses: 3 = Outstanding
46 = Excellent
26 = Good
6 = Fair

The consensus of their explanations stressed that the presentations were very informative. Overall, the conference was very well planned, organized and more productive than last year's.

Question #2: Which presentation(s) should have been allotted more time? Why?

Responses: 35 = None. All were allotted sufficient time.

7 = Servicewide Information and FOIA/PA problems. The consensus was that too much time was spent discussing Records.

6 = Program policies, procedures and operations problems.

5 = The G-23 workshop sessions. There is still confusion.

3 = There should have been more workshops, you can reach more people.

3 = Budget process and how Records/Information relates to it.

2 = Central Index workshop, immediate information needed.

2 = Integrity presentation, a fascinating subject.

1 = Project SAVE major new function with much impact on

n #3: How should the Conference have been improved? (Please be specific.)

- Responses:**
- 10 = More Information and FOIA/PA related issues should have been covered.
 - 6 = There should have been more but shorter breaks scheduled, because sitting in those chairs for so long was uncomfortable.
 - 4 = There should have been a tour of Central Office to include questions and answer time.
 - 3 = More handouts from the speakers should have been provided to the conferees for their future reference.
 - 3 = Need tables and microphones in the workshops.
 - 2 = There should have been more breakout/workshop sessions.
 - 2 = Definite solutions and responses to problems needed to be given.
 - 2 = More time should have been spent dealing with G-23 related issues.
 - 2 = Fewer or no presentations.
 - 2 = Some of the viewgraphs were difficult to see from a distance.
 - 1 = More time should have been allotted for questions; time limitations were too strict.
 - 1 = Need microphone for questions asked by attendees in main conference room.

#4: How do you rate the following?

Responses: (All areas were not checked by each attendee)

Excellent

Good

Fair

A. If Yes, where and when?

Responses: 20 = Washington, D.C. metropolitan area (annually).

6 = Anywhere within the United States annually, central location, an interesting place.

5 = In Texas.

4 = In New York City.

3 = In California.

3 = Anywhere, depending on budgetary restrictions, every 2 years.

2 = In Virginia, annually.

2 = At a Regional Office every 2 years.

2 = Somewhere on the west coast every 2 years.

1 = In alternate Regions every 2 years.

1 = In Honolulu next year (annually).

B. Who should attend? (Titles of individuals only.)

Responses: 76 = Servicewide Records managers and supervisors.

11 = The Lead File and Mail Clerks for each FCO should be added to the list of attendees for the next R & I conference.

9 = Supervisory Contact Representatives.

6 = District Directors should be required to attend.

6 = FOIA Representatives.

Additional Comments:

Responses: 4 = Arrange for travel not to be on Sundays.

4 = Next time, the Conference should be extended to allow more time for those items essential to all offices, not just key cities.

- 3 = Monday and Friday should be travel days.
- 2 = John Murray's presentation was excellent.
- 2 = Smoking should be allowed.
- 1 = Maybe we should also have a conference once a year for the smaller offices and once a year for the larger offices.
- 1 = Have one conference for Records and one for Information and FOIA/PA.
- 1 = Too much time spent on G-23.